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ABSTRACT

This information analysis paper examines (1) the characteristics associated with effective change facilitators and (2) the concept of "style" and its value in describing and understanding leadership performance and the role of change facilitators in particular. Three bodies of literature are highlighted and summarized in pursuit of answers to these concerns. First, the large body of leadership literature is searched for material on change facilitation and style. Models of leadership discussed include Fiedler's (1978) contingency model, the Vroom-Yetton model, the path-goal theory, the attribution theory, and Jago's typology of leadership research and literature. The second body of literature considered is the change agent literature. Three classifications of approaches to change described by Chin and Benne (1969) are presented (rational-empirical, normative-reeducative, and power-coercive), followed by Havelock's three change models (social interaction, research and development, and problem-solver). Other models discussed include the linkage model, Goodlad's responsive model, the concerns-based adoption model, and the Rand Change Agent Study model. The third section presents three related bodies of literature on principals: leadership role, principal as change facilitator, and principal effectiveness/school improvement. The fourth section provides a synthesis and discussion, while the final section presents a working definition of the change facilitation process and of "style." Thirteen pages of references are included. (TE)

# CHANGE FACILITATORS:
# IN SEARCH OF UNDERSTANDING THEIR ROLE

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## CHANGE FACILITATORS: IN SEARCH OF UNDERSTANDING THEIR ROLE[1,2]

The process of change in schools has been the focus of study by the Research on the Improvement Process (RIP) program at the Research and Development Center for Teacher Education at the University of Texas at Austin for a number of years. The goal of this research is the identification of successful strategies for accomplishing educational change in an effective and personal manner. Initially, the research efforts focused on individual teachers, investigating how they were influenced by school improvement efforts and how they in turn influenced such efforts. This work yielded much valuable information about the educational change process. One especially compelling observation that was consistently made during these investigations was the importance of the change facilitator[3] role for accomplishing effective change.

Responding to this apparent reality, the RIP staff expanded its research focus to the change facilitator and the facilitator's influence on school change. Change facilitators could be individuals serving in various roles and locations such as line administrators or district curriculum coordinators who reside outside the school and resource teachers who are assigned to a specific school. However, school principals as change facilitators have been the focal

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[1]The research described herein was conducted under contract with the National Institute of Education. The opinions expressed are those of the authors and do not necessarily reflect the position or policy of the National Institute of Education. No endorsement by the National Institute of Education should be inferred.

[2]Appreciation is expressed to Nova Washington, Staff Assistant, for her excellent work in conducting the library search for this review.

[3]A change facilitator is any individual who has implicit or explicit responsibilities for facilitating change.

point, since in the studies of teachers, all indicators pointed to the school principal as the single most influential person for facilitating change.

As this finding was emerging in RIP research, a number of other researchers were also finding that school principals are a key to successful school improvement. The accumulating evidence from numerous studies contributed to the strong conclusion that principals indeed have a crucial influence on school improvement efforts. What do principals and other facilitators do in this role and what are the characteristics of effective facilitators of change? This question and the need for research evidence to answer it stimulated this search of the literature.

Another finding from the RIP studies of principals was that those who were guiding change in their schools exhibited a particular change facilitator "style," varying from principal to principal, but collectively exemplifying several distinctive, identifiable styles. This strong outcome of the RIP research generated a number of questions about the concept of "style." Before proceeding further with this line of inquiry it seemed advisable to consult the literature to determine what others have learned about "style." Thus, two major purposes developed for this information search:

1. What are the characteristics associated with effective change facilitators? To seek an answer to this question, the search looked at factors that are necessary for effective change facilitation.

2. What is style and of what value is it in describing and understanding change facilitators? The search looked for the definition(s) of style, how it relates to leadership performance, and in particular, how it relates to the role of change facilitators.

## Design of the Paper

In the sections that follow three bodies of literature will be highlighted and summarized in pursuit of answers to the questions posed to guide the review. The large body of literature typically referred to as leadership literature will be considered first. Most persons who serve as change facilitators in schools are typically in leadership positions and facilitating change is one of many responsibilities they have. Certainly, this is true of principals. Change facilitation is an aspect or component of leadership so it is logical to expect that leadership literature would speak to the facilitator role of leaders. Another reason for searching the leadership literature is to determine how it treats the concept of style. For years this body of literature has discussed leadership styles; therefore, these discussions could be applicable to the concept of change facilitator style.

A second body of literature to be considered is the change agent literature and the reasons for this are obvious. Finally, the literature on the school principal will be considered because of the particular interest in the principal as change facilitator.

For the first two bodies of literature, leadership and change, several of the most frequently cited or prominent theories and perspectives will be selected for consideration. They will be reviewed specifically to inform the two purposes of this paper. The literature on the school principal, Section III, does not offer clearly articulated theories and perspectives as do the other two bodies of literature. Instead, there are three related bodies of principal literature. These include the leadership role of the principal, the principal as a change facilitator, and principal effectiveness and school

improvement. The reader should be aware that the reporting of information in this document will be more akin to a critique than a traditional literature review, for editorial commentary will be presented as a means of highlighting the information gained from the literature search in the three areas.

Section IV presents a synthesis and discussion of the previous three sections. Section V brings together the findings from the literature and from RIP program research into a formal framework that encompasses present knowledge and serves as a heuristic for future research.

## I. LITERATURE ON LEADERSHIP

Theories, models and perspectives of leadership abound. Bass (1981) identifies eleven broad classifications or kinds of theories and most of these include a number of specific sub-theories. Presented here are selected positions that seem to represent the leadership literature.

### Contingency Models

The most extensively researched model is Fiedler's (1978) contingency model. According to this model, "... effectiveness of interacting groups or organizations depends, or is contingent upon the appropriate match between leader personality attributes, reflecting his or her motivational structure, and the degree to which the leader has situational control and influence" (p. 60). In the original document from which this quote was taken, Fiedler included a footnote to the quote in which he states that the model is primarily applicable to collaborative groups such as basketball teams rather than groups where members function independently (even though they may interact) but where the performance of individuals will be summed to get an assessment of the organizational performance.

The contingency model is based on two key elements. One is the motivational structure of the leader and the other is situational control or "the degree to which the situation provides the leader with control and influence" (p. 62). The interaction between these two elements produces leader behavior according to Fiedler.

Motivational structure is determined by a score on the Least Preferred Co-Worker (LPC) instrument. According to Fiedler, LPC represents a personality attribute that is "transsituational in nature" (p. 103). On this measure the leader responds to eighteen bipolar objective pairs, e.g.

cold-warm, to describe a least preferred co-worker, the one person they can remember with whom it was most difficult to work. Those who describe the co-worker in negative, rejecting terms are said to be task motivated and those who use more positive terms are seen as relationship-motivated. However, Fiedler states that LPC does not generally predict leader behavior. A high LPC score does not automatically mean that a leader will be considerate nor does a low score always imply more structuring behavior. As for situational control, Fiedler contends that in situations where leader control is either high or relatively low a task-motivated leader will perform best. When leader control and influence is moderate, relationship motivated leaders will perform better. Leader effectiveness is determined by the extent to which a leader can change the situation to match his personality.

Fiedler (1978) views task and relationship as motivational structures and equates these to managerial styles. Having done this he then points to the model as evidence that no one leadership style is best, that what is best depends on the situation. When the style of the leader and the situation are not compatible, Fiedler recommends that leaders be taught to change the situation. He sees changing the situation to be easier and more practical than changing the leader's style. Fiedler calls into question leadership training programs that attempt to change leadership style without regard for the nature of the situation wherein the leader works.

Commentary

Characteristics of effective change facilitators. This model does not address in a direct manner change facilitation as a component of leadership but there are evident implications. Fiedler believes that there is no best set of leader characteristics for leader effectiveness is determined by the situation, or, more precisely, the match between the situation and the

leader's personality attributes. To accomplish the ideal match he believes that leaders should change the situation not their pattern of leadership.[4] From this model it might be inferred that one characteristic of an effective change facilitator is the ability to change the situation, if necessary, to cause it to match his manner of facilitating change.

If Fiedler's contentions regarding general leadership behavior apply also to change facilitating behavior, relationship motivated facilitators (as determined by LPC scores) will perform best in situations when leader control and influence is moderate. Task motivated facilitators will perform better in situations where control is either high or relatively low.

Style. Fiedler (1978) views task and relationship as motivational structures and equates these to managerial styles. In this sense, then, personality attributes (as determined by LPC) can be viewed as the key components of managerial style. The model maintains that personality attributes "remain reasonably constant..."(p.73) so it might be presumed that style is reasonably constant. Fiedler claims, however, that leaders may change considerably in the way they approach their job as they gain experience and training. What is not made clear by Fiedler is what is actually changing when a leader's "approach" changes. If managerial style is constant the change must be in something else, perhaps in individual behaviors that do not in and of themselves represent managerial style.

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[4] To help leaders accomplish situational change A Leader Match training program (Fiedler, et al., 1976) was developed. It is in the form of a self paced workbook requiring 4-8 hours to complete. Supplemental lecture-discussions and films can also be used.

## Vroom-Yetton Model

A second model to be considered is the Vroom-Yetton Model (Vroom & Yetton, 1973; Jago & Vroom, 1977; Vroom & Jago, 1978; Jago & Vroom, 1980) which is also referred to as a contingency model (Vroom & Jago, 1978). Actually the model is described as a decision making model rather than a leadership model for its focus is on the leader's decision behavior and how that affects the quality of the decision and acceptance of the decision by followers. These in turn affect follower performance.

Central to this model are assumptions the developers make regarding decision quality, decision acceptance, and decision outcomes. Decision quality refers to those aspects of a decision that may influence group performance apart from effects on subordinate motivation. Quality is the degree to which the decision has consequences on group performance. The degree to which followers accept a decision and commit to its implementation is termed decision acceptance. A premise of the model is that followers will be more motivated to implement a decision if they feel they were instrumental in making it.

These assumptions about decision-making have been converted into decision rules (Table 1) and they are applied through the use of a taxonomy of decision processes (Table 2). Based on these scaling procedures values are assigned to the decisions made. An AI type decision (Table 2) is valued at 0 while a GI type decision is valued at 10. Higher scale values indicate greater opportunity for followers to be involved in decision-making. From this measurement process a leader can be placed on a continuum from being autocratic (Jago & Vroom, 1977) to being participative.

TABLE 1

VALIDITY OF THE VROOM-YETTON MODEL

Rules Underlying the Model

Rules to Protect the Quality of the Decision

1. The Leader Information Rule
   If the quality of the decision is important and the leader does not possess enough information expertise to solve the problem by himself, then AI is eliminated from the feasible set.

2. The Goal Congruence Rule
   If the quality of the decision is important and subordinates are not likely to pursue the organization goals in their efforts to solve this problem, then GII is eliminated from the feasible set.

3. The Unstructured Problem Rule
   In decisions in which the quality of the decision is important, if the leader lacks the necessary information or expertise to solve the problem by himself, and if the problem is unstructured, the method of solving the problem should provide for interaction among subordinates likely to possess relevant information. Accordingly, AI, AII, AND CI are eliminated from the feasible set.

Rules to Protect the Acceptance of the Decision

4. The Acceptance Rule
   If the acceptance of the decision by subordinates is critical to effective implementation and if it is not certain that an autocratic decision will be accepted, AI and AII are eliminated from the feasible set.

5. The Conflict Rule
   If the acceptance of the decision is critical, an autocratic decision is not certain to be accepted and disagreement among subordinates in methods of attaining the organizational goal is likely, the methods used in solving the problem should enable those in disagreement to resolve their differences with full knowledge of the problem. Accordingly, under these conditions, AI, AII and CI, which permit no interaction among subordinates and therefore provide no opportunity for those in conflict to resolve their differences, are eliminated from the feasible set. Their use runs the risk of leaving some of the subordinates with less than the needed commitment to the final decision.

Vroom, V. H. & Jago, A. G. On the validity of the Vroom-Yetton model. Journal of Applied Psychology, 1978, 63, 151-162.

TABLE 2

VALIDITY OF THE VROOM-YETTON MODEL

Taxonomy of Decision Processes

AI You solve the problem or make the decision yourself using the information available to you at the present time.

AII You obtain any necessary information from subordinates, then decide on a solution to the problem yourself. You may or may not tell subordinates the purpose of your questions or give information about the problem decision you are working on. The input provided by them is clearly in response to your request for specific information. They do not play a role in the definition of the problem or in generating or evaluating alternative solutions.

CI You share the problem with the relevant subordinates individually, getting their ideas and suggestions without bringing them together as a group. Then you make the decision. This decision may or may not reflect your subordinates' influence.

CII You share the problem with your subordniates in a group meeting. In this meeting you obtain their ideas and suggestions. Then, you make the decisions, which may or may not reflect your subordinates' influence.

GII You share the problem with your subordinates as a group. Together you generate and evaluate alternatives and attempt to reach agreement (consensus) on a solution. Your role is much like that of chairman, coordinating the discussion, keeping it focused on the problem, and making sure that the critical issues are discussed. You can provide the group with information or ideas that you have but you do not try to "press" them to adopt "your" solution and are willing to accept and implement any solution that has the support of the entire group.

Vroom, V. H. & Jago, A. G. On the validity of the Vroom-Yetton model. Journal of Applied Psychology, 1978, 63, 151-162.

Commentary

Characteristics of effective change facilitators. Although the Vroom-Yetton model does not speak specifically about change facilitators it seems to have relevance for facilitators and the process of change facilitation. The purpose of the model is to guide decision making but with the utlimate goal of influencing or changing group performance. For group performance to be influenced as desired, followers must accept and implement the decision. There is no specific mention of the size of the decision that might be processed via this model. Presumably it could be a decision of a minor magnitude or it could represent an innovation that requires considerable change in the organization and people in it.

Leader effectiveness is not given a precise definition in the model, but it might be inferred that subordinates' implementation of a decision would reflect success. Since implementation of a decision represents some degree of change the leader is, in a sense, a facilitator of change and the way decisions are made determines how he facilitates. In the taxonomy of decision processes (Table 2) it appears that collaborative decision making is preferred.

Style. In the Vroom-Yetton Model style is determined by the decision-making strategies chosen. A leader's style falls on a continuum from autocratic (AI) to participative (GII). Vroom and Yetton believe that leaders can and should modify (or choose) their decision-making strategy (style) on the basis of the situational variables represented in the rules shown in Table 1.

## Path-Goal Theory

The third theory (Path-Goal) to be discussed draws on the terms and concepts of a large and significant body of literature called the Ohio State

Leadership studies that have never been formally titled a theory or model but have had massive influence on leadership research. Therefore, it is necessary to attend to that research before considering the third theory.

The Ohio State Leadership Studies are known for the development of the two factors of leader behavior called consideration and initiation and for the development of four questionnaires -- Leader Behavior Description Questionnaire (LBDQ) (Halpin, 1957), the Supervisory Behavior Description Questionnaire (SBDQ) (Fleishman, 1957a), Form XII LBDQ (Stogdill, 1963) and the Leadership Opinion Questionnaire (LOQ) (Fleishman, 1957b).

For more than 30 years the Ohio State studies have focused on the role of leader behavior and the instruments cited above that have been developed and used to measure such behavior, using consideration and initiation of structure as the bases for this. The intent of this research has been to identify the kind(s) of behavior associated with effective leadership. Consideration is the degree to which leaders have sincere concerns for followers and express it in many ways such as boosting their self esteem, expressing appreciation and respect for their work, seeking and using follower ideas and many similar activities. Inconsiderate leaders would behave in a contrary manner. The concept of structure initiation describes the extent to which a leader structures his and his followers' work environment for goal attainment.

Path-Goal theory describes leader behavior in terms of five dimensions. The first two dimensions, consideration and initiating structure, are based on the Ohio State studies. The remaining three dimensions are authoritarianism, hierarchial influence and closeness of supervision.

This theory has been most completely described by House (1971) and is based on a hypothesis advanced by Georgopoulos and others (1957), and from expectancy theory of motivation (Lawler, 1968; Evans, 1970).

Collectively, these theories propose that an individual's behavior will be determined by the self satisfaction he perceives will be derived from the outcome of such behavior and by his feeling of the probability that the behavior will result in that outcome. The degree to which an individual behaves in a certain manner (follows a particular path) to attain a goal is greatly influenced by the expected outcomes for that behavior. In arriving at an estimate of satisfaction and probability of obtaining the intended outcomes a subordinate will consider his own abilities, environmental barriers to goal attainment, support he will receive from others, potential recognition and rewards by superiors and the intrinsic value of the potential satisfaction.

In this theory the leader can be influential in several ways. First, the leader controls (at least partially) and allocates the rewards for the efforts of the subordinates. Secondly, by being consistent in his own behavior relative to the recognition and rewarding of subordinate performance, the leader makes it easier for the follower to predict the rewards for certain work behaviors. A third manner of influencing is by supporting the followers' efforts and a final way the leader influences is by determining the amount of involvement the subordinate has in goal setting.

Based on these theoretical principles and on research findings, House (1971) formulated a number of hypotheses concerning leader consideration, initiating structure, closeness of supervision, hierarchical influence and authoritarianism. Some of the more relevant hypotheses are as follows:

1. For those followers who have non-routine task demands, increased path instrumentality results from initiating structure because it decreases role ambiguity. When task demands are routine, initiating structure will be unsatisfying to subordinates.

2. The relationship between consideration and follower satisfaction and performance will be increasingly less positive as the task is more satisfying. However, consideration will tend to modify dissatisfaction attendant to a task.

3. As the task is less satisfying the relationship between structure and satisfaction will be more negative and the relationship between structure and performance will be more positive. Even though the imposition of structure will be viewed as a negative intervention it will be necessary to move followers toward goal attainment.

4. In situations where the work of individuals is interdependent but norms for the collaborative effort do not exist and where tasks are varied, initiating structure and close supervision will be positively related to follower satisfaction and performance. Under those work conditions consideration will contribute to sound support and group cohesiveness and team effort.

Research related to this theory has provided mixed results. A review by Kerr, et al. (1974) lends support to it while a review by Korman (1973) finds quite a few studies that did not support it.

Commentary

Characteristics of effective change facilitators. While the Path-Goal theory does not address in a specific way the role of change facilitator its propositions appear to be especially relevant for change facilitators. In the first place the theory clearly explicates the standards of leader effectiveness, it is judged by follower satisfaction and performance. These standards of success are equally applicable to the work of change facilitators.

According to this theory leaders can influence follower performance and satisfaction by rewarding the efforts of subordinates and making clear which work behaviors will be rewarded. Facilitation of change might also be enhanced by appropriate rewards. The behaviors of the leader that will be rewarding to followers are dependent on the situation in which the followers work. Thus follower satisfaction and performance is influenced by the situation in which the leader/follower interaction occurs. If this be true it seems that it would also apply to change facilitation.

Style. Path-Goal theory describes leader behavior in terms of five dimensions but the concept of style is not addressed. Perhaps the dimensions collectively are indicative of a style or each dimension might be seen as a style, but the concept of style is not associated with the dimensions in the theory.

## Attribution Theory

A theory which has been developed in recent years (Calder, 1977; Pfeffer, 1977; Green & Mitchell, 1979) describes leadership in a way somewhat different from the theories described above. Attribution theory is so named because it theorizes that leadership is the behavior others attribute to leaders. Calder (1977) sees leadership not as a scientific construct but as a study of the social reality of observers of leadership and followers. Each observer has his own theory of leadership and whether or not a leader is perceived to be effective depends upon how the leader's behavior "fits" the observer's theory. There are no criteria for observing leader behavior. The observer's theory may not be valid but it is, nevertheless, the basis for assessing leader behavior. When applying his leadership theory an observer will, according to Jago (nd), employ four rules to determine whether a behavior represents

leadership: "(1) Is the behavior distinctive? (2) Is the behavior typical of how leaders are expected to act? (3) Is the behavior either consistent across time and place or extreme? and (4) Can other dispositional (or trait) causes of the observed behavior be rejected?" (p. 8).

Attributional processes apply to leaders as well as followers and Green and Mitchell (1979) developed a model for studying that process. Simply stated, leaders observe followers' behavior and on the basis of that observation form a theory about that behavior, its appropriateness and the causes of it.

Calder believes that leadership is a disposition or trait but it exists only as perceived by others. Therefore, a study of leadership is not a study of what leaders do but a study of what goes on in the minds of leaders, observers and followers that leads to the classification of behaviors as leadership or not. According to Mitchell (1979) if attribution theory is valid then it calls into question all studies of leadership that took subordinate ratings of leader behavior to be a representation of actual behavior.

Commentary

Characteristics of effective change facilitators. Attribution theory gives no specific characteristics of effective leaders, thus it is not possible to derive any information from the theory about effective change facilitator characteristics.

Style. This theory makes no mention of leadership style.

## Jago Typology

Jago (nd) has categorized all the leadership research and literature into four perspectives that provide a useful way of viewing the entire field. Type

I perspective is that rather large body of research focused on leadership traits. For the first forty to fifty years of this century there was great emphasis on the identification of universal traits that mark the successful leader. As early as the 1920's, Bernard (1926) and Tead (1929) were suggesting that certain superior qualities or traits were associated with successful leaders. From these works and others stemmed many investigations to identify those superior qualities that would differentiate effective leaders. The traits that have been subjected to investigation range from physical ones such as height and age to capacity factors such as intelligence or knowledge to personality factors such as introversion-extroversion and dominance. Additionally, attention was given to social factors such as cooperation or adaptability and performance factors such as initiative and dependability.

From the many studies of traits that were conducted some positive correlations with leader effectiveness were found but these were often low correlations and over a number of studies they were not consistent. A problem with trying to choose leaders based on traits was the difficulty of getting the proper combination of traits. Another problem encountered with the trait approach to leadership was that it meant that leaders were born and selected rather than developed or trained. Jago (nd) feels that the movement away from trait research was greatly influenced by research indicating that the situation in which a leader operated was more influential on success than traits.

Failing to find the final answer to leadership success in the universal traits perspective this type of research was virtually abandoned until again introduced in one form through attribution theory. As trait research tapered off attention turned to another perspective, leadership styles (Type II).

Within this perspective research attempted to identify factors or dimensions that would identify leader styles or patterns of behavior that would distinguish between effective and ineffective leaders. Out of this perspective came the concepts of consideration and initiating structure and other continuum descriptions of behavior such as autocracy-democracy and Blake and Mouton's (1964, 1976) managerial grid approach to training leaders.

Research using the styles perspective failed to discover a set of behaviors or styles that differentiated between effective and ineffective leaders. Jago implies that that line of research did not succeed in its goal because it failed to account for the influence of the context in which the leader works. This led to research that began to focus on the situation as a major variable in leadership success (Type III). To pursue this line of investigation it was necessary that a clear, specific identification of the situational conditions or contingencies be available so as to make it possible to know under what conditions certain traits and behaviors would be effective. This third perspective is concerned with identification of contingencies or situations under which leader traits result in successful leadership. Jago offers Fiedler's contingency model as an example of this perspective since he feels that Fiedler's task versus relationship motivation is a personality trait.

The Type IV perspective focuses on situation as does Type III but this perspective assumes that successful leadership is a function of behaviors (not traits) and their interaction with the situation. Therefore, research from this perspective, represented notably by path-goal theory and the Vroom-Yetton model, has attempted to specify under what conditions certain leader behaviors are successful. Jago concluded that none of these perspectives have fully accounted for successful leadership.

Jago's perspective of leadership is summarized in a typology (Table 3) which he feels encompasses all existing leadership research perspectives and allows for classification of future theories or perspectives. He has established his typology on two distinct factors or constructs, traits and behaviors, differentiated by whether they are seen as constant (universal) or changing in response to the situation (contingent).

Commentary

Characteristics of effective change facilitators. As was the case with the previously discussed theories, Jago's typology of leadership does not mention in a specific way change facilitation as a leadership function but some inferences are evident. Successful change facilitators will not be marked so much by their particular traits or styles or behaviors but by the way they interact with the situation. The situation is seen as the key factor.

Jago seems to imply that the Type IV perspective, that accounts for interaction between situation and behaviors, is most viable. From this perspective a successful change facilitator would understand the situation and adjust his behaviors to that situation. Perspective III is also responsive to the situation, accounting for interactions between situation and traits. However, since traits are typically seen as fixed and generally unchangeable it means that to be effective a change facilitator would have to be matched in advance with the situation based on his traits. This arrangement lacks the flexibility of a facilitator who can change behaviors as the situation demands.

Beyond the general perspectives and typology, Jago offers no specifics on what kinds of behaviors or traits are suited to what kinds of situations.

TABLE 3

A Typology of Leadership Perspectives

| | | Theoretical Approach | |
|---|---|---|---|
| | | Universal | Contingent |
| Focal Leadership Construct | Leader Traits | Type I | Type III |
| | Leader Behaviors | Type II | Type IV |

Jago, A. G. Leadership: Perspectives in theory and research. (Mimeographed copy, no date).

It is interesting to compare Jago's perspectives with the classification scheme offered by Bass (1981). He believes all leadership theories can be classified into three groups: (1) leaders are task focused; (2) follower focused; and (3) focused on both plus environment, the organization and the leader and followers who are involved. In the third group it is apparent that the leader and the situation are interactive but it is not clear exactly how the situation fits into the first two groupings.

Style. Perspective II addresses the concept of leadership style but without a clear definition or description. Jago asks the question "What summary dimensions can be used to identify patterns -- or 'styles' -- of leader behavior?" (p. 10). Several words in that question infer a definition of styles -- patterns of behavior. As dimensions of style Jago offers only four, or two pairs: consideration-initiating structure and autocracy-democracy. Consideration and initiating structure are said, by Jago, to be independent factors not operating on a continuum. A leader could be high or low on both. On the other hand, autocracy-democracy do operate on a continuum. Because these behaviors are acquired Jago believes they can be changed through training but such changes may not have the intended effect on organization effectiveness.

When it comes to assessing the effects of a particular style or dimension Jago concludes that no one style is inherently good, what is most successful depends on the situation. What does this mean for change facilitators? From Jago's perspective it would be futile to develop one change facilitator style that would be effective in all situations. Rather style should change based on the situation. What styles for which situation are not specifically identified, but he points out that effectiveness of consideration and initiating structure may be dependent on follower needs and dependencies,

follower ability, degree of task structure, degree of intrinsic task satisfaction, pressure of task job level, expectations of followers, and leader upward influence (p.12). Jago discusses situations in which certain styles were projected to be the most effective but were not due to the nature of the situation.

## Commentary on Leadership Literature

The bulk of the research and theory from the past two or three decades espouses a belief that effective or successful leadership is situationally influenced (Fiedler, 1967; House, 1971; Vroom-Yetton, 1973; Bass, 1960; Hersey & Blanchard, 1977; Tannenbaum & Schmidt, 1958). Undoubtedly, this belief has been influenced by research findings that revealed weak and inconsistent relationships between leader traits and leader effectiveness (Wexley & Yukl, 1977; Bass, 1981). Bass (1981) concludes from his review of trait research and the reviews conducted by others that "(1) little success had been attained in attempts to select leaders in terms of traits; (2) numerous traits differentiated leaders from followers; (3) traits demanded in a leader varied from one situation to another; and (4) the trait approach ignored the interaction between the leader and his group" (p. 358). In spite of this conclusion the question of whether leaders are born or made is still being investigated (Patinka, 1979).

The search for the answer to leader effectiveness through research on interactions between and among the leader and subordinates and situation has generated a number of recommendations for leaders. The problem is that the recommendations are not consistent from one authority to another nor are they supported in a consistent manner by research findings. Summing up the many years of leadership research McCall and Lombardo (1978) can point to only four

things learned and one seems not too certain:

1. Personality traits are not reliable predictors of leader effectiveness.

2. Generally leader consideration toward followers is correlated with follower satisfaction (but it is not clear in which direction the causal arrow points).

3. No leader style or approach is effective in all situations.

4. By structuring the expectations of followers, leaders play a crucial role.

When it comes to the question of developing effective leadership most theories either infer or state outright that this can best be done by the leader changing his behavior or style to fit the situation. A notable exception to this position is that by Fiedler who feels it is easier for leaders to change the situation. He does not say that leaders cannot change, just that it is easier to change the situation to match leader style. Another exception is Blake and Mouton (1964; 1976) who propose one way of behaving is best for all situations - high production, high employee orientation. There appears to be virtually no literature disputing the position that leaders can and do change their behaviors and styles rather easily, a matter that will be discussed in more detail below.

Virtually all of the leadership models consider the situation to be of critical importance to leader effectiveness yet very little research or attention has yet been directed to the situation. Questions such as what factors constitute the situation, how they are known or measured, how many factors or which ones must change to effect a change in the situation sufficient to influence leader behavior, and who or what creates and influences the situational factors are questions in need of answers. Bass, et al., (1975) conducted a study which is useful in relating style to the situation. They identified what they term five management styles: direction,

negotiation, consultation, participation and delegation, and correlated these with certain situational variables. From this study they found "direction was most likely to appear with structure and clarity; negotiation, with short-term objectives and authoritarian subordinates; consultation, with long-term objectives and intragroup harmony; participation, with clarity and warmth; and delegation, with warmth and lack of routine tasks" (p. 720). While this study does not describe the situation with the precision that is needed, it is a step in the right direction.

Understanding and applying the literature is made difficult by this lack of definition or classification of terms and concepts. Leadership effectiveness is often mentioned but not so often defined. Some studies do define it in terms of subordinate satisfaction or performance which is helpful but not entirely useful since satisfaction and performance are not defined. Wexley and Yukl (1977) claim the criterion of leader effectiveness in an organization to be "the long-term performance of the leader's group or subunit." Campbell (1977) feels that the only criteria that should be used to judge leader effectiveness are observable follower behaviors that a leader might likely influence in a face-to-face situation. Karmel and Egan (1976) maintain that except for Fiedler's work on situational determinants leadership research has not "come to grips with the effectiveness and performance variables" (p. 323). Relationships between leadership dimensions and management effectiveness remain underdeveloped in spite of years of research.

Characteristics of effective change facilitators. Several problems make it challenging to try to apply the leadership literature to change facilitators in educational settings. In the first place, very little of the leadership research involved schools. To the extent that schools are like other organizations this should not matter but to the extent that they are not

it does matter. For example, one way schools are different is that measures of success are frequently derived from the performance of non-adult, non-employed individuals, e.g., students. Also, staff in schools have a great deal of autonomy in carrying out their responsibilities.

A second problem has to do with stability and change in organizations. The literature does not deal with leadership during times of organizational stability, planned change, or upheaval other than to claim that leaders should change to fit the situation. For schools that tend to be changing and stable at the same time, (i.e. new programs, same organization) the implications for school leaders is not clear.

In spite of these problems the leadership literature does offer some interesting information for change facilitators. In the literature there is widespread belief that the situation is highly influential in determining the success of the leader and this must surely be true for facilitators as well. Except for Fiedler the authorities believe the leader must change his behavior to match the situation. To accomplish this match he offers some propositions that are applicable to change facilitators.

Fiedler contends that in situations where leader control is high or is relatively low a task-motivated leader will perform best. In a moderate control situation a relationship oriented leader will be more successful. When introducing a change into the organization the facilitator would first assess the leader control level within the organization as well as his own leader motivation or orientation. If the two are compatible then the facilitator may proceed with the change process. But if there is a variance between leader motivation and the situation then Fiedler would have the facilitator change the situation rather than the facilitator changing.

For the facilitator who is also the leader i.e., school principal,

changing the situation may be feasible. For the facilitator who is not the organizational leader, whether he be external or internal to the organization, changing the situation does not seem to be very feasible. A situational change, in Fiedler's theory, would mean a change in level of control of the followers and this could well create conflict between the leader and followers. Therefore, it seems that the facilitator would have to change unless a change in the situation was sanctioned by the leaders.

What does it mean to be a task oriented or a relationship oriented facilitator? According to Fiedler, it means you are one or the other, not both at the same time. A task oriented leader is one who would focus his attention first on accomplishing the implementation of the change at hand while the relations motivated leader would focus first on the people involved in and influenced by the change. The concepts of consideration and initiating structure articulated in the Ohio State leadership studies and the Path-Goal theory seem very similar to Fiedler's concepts of task and relations motivations. A considerate facilitator would seek to accomplish implementation of change by involving followers as collaborators in the process and by encouraging use through expressions of praise, appreciation and respect. A facilitator who initiates structure will structure the work situation so that followers can accomplish the implementation of the change. Unlike the contingency model a facilitator can be high or low on both concepts, they are not on a continuum.

As applied in the Path-Goal theory these concepts have the following implications for change facilitators:

1. If the change places non-routine task demands on the intended users, initiating structure will reduce role ambiguity and increase progress toward the goal.

2. When the change is not satisfying facilitator consideration expressed toward users will modify dissatisfaction. When the task is dissatisfying imposition of structure will be necessary to get followers to implement the change even though structure will be seen as a negative intervention.

3. If the change to be implemented requires collaboration and the tasks to be done are varied and collaboration is not typical for the groups, initiating structure and close supervision will be positively related to follower satisfaction and performance. Consideration will build esprit de corps.

4. A facilitator can enhance implementation by establishing rewards for implementation and making those rewards visible and the path to attainment of the rewards clear.

The Vroom-Yetton model has application for change facilitators at two levels although the applications are not explicit. First the model applies to the making of decisions about change. It offers three rules for protecting the quality of the decision. Depending on the situation the facilitator may make the decisions himself or share that responsibility with subordinates. A second level has to do with assuring acceptance of the decision to change. For this purpose there are seven rules to guide the facilitator. Again these rules say that actions taken are dependent on the situation. By their very wording the rules suggest that acceptance is dependent on the leader at least consulting with subordinates as a group if not engaging them collaboratively.

The attribution theory does not inform the work of change facilitators in a specific way but it does caution them that their success does not come solely from what they do but from what the followers expect them to do and perceive they are doing. At the same time the facilitator should be aware that he is often attributing cause and appropriateness to individual behaviors

he observes. A facilitator who is aware of follower perceptions of his efforts and of his own perceptions of others' behavior will likely be more successful as a facilitator.

The leadership literature does not provide a laundry list of characteristics of successful change facilitators. In fact it does not address change facilitators in a specific way. Nevertheless, it does offer guidelines and propositions that have relevance for change facilitators and for those conducting research on change.

Style. The purpose of this section is to address directly the questions about style that were identified earlier in the paper. One might conclude that much is known for much print and space has been allocated to discussions of it. It might even be said that enough is already known. For example, Jago discussed leadership styles from a Type II perspective and concluded that there was not a universal set of behaviors (presumably his definition of style) that distinguished between effective and ineffective leaders. Given this conclusion it would seem unnecessary or even wasteful to allocate additional space and print to further consideration of styles. However, the literature review revealed some omissions and inconsistencies that are in need of resolution before discounting the role of style in change facilitator performance.

To begin with it is not at all clear what is meant by style when it is discussed. The only specific attempt to define styles that was found was proposed by Fiedler (1967). He sees style as the motivational structure for the leadership behaviors a leader exhibits. Leadership behaviors refers to the particular acts of a leader. Behaviors and motivational structure are seen as operating separately for Fiedler feels that style remains relatively constant while behavior changes to meet the needs of the situation. He is one

of the few who believes this. In contrast, Jago (nd) defines style (by inference) as a set of behaviors and believes they should change according to the situation or context. Summarizing the research of others Mitchell (1979) reports, "They see leadership in terms of two styles (task and interpersonal), and these styles are seen as the causes of subordinate satisfaction and performance" (p. 266). Bass (1981) compiled a list of more than 25 comparative dimensions "for describing how leaders differ in their style" (p. 607). The dimensions cited include such familiar terms as autocratic-democratic, McGregor's theory X-theory Y, directive-nondirective, task oriented-relations oriented and Systems I, II, III, and IV (Likert, 1967), plus many others. Bass speaks of these various terms not as dimensions of style but as descriptors of style.

From all this it might be logically inferred that (1) there are many different leadership styles or there are many different terms used to describe the same style and (2) that leadership style operates on a functional continuum. Bass attempts to simplify the problem of too many descriptors when he states "to some degree, all research on leadership styles can be conceived as about democratic, autocratic or laissez-faire leadership ..." (Bass, 1981, p. 607-608). According to Bass then there are really only three leadership styles and these styles are determined either by amount of leader activity or the leader's orientation toward work or toward people. It is disappointing to note that in his excellent review of the leadership literature, a review that frequently discusses styles and their relationship to leader effectiveness, there is not a clear definition of style.

Other authors do not do any better in defining style. In his presentation of four leadership perspectives, Jago describes Type II as leadership styles. Yet, when he developed his typology of perspectives he

used the term leader behaviors instead of leadership styles. No explanation was given for the change in terminology from the text to the typology. In 1973, Hill reported a study entitled "Leadership Style: Rigid or Flexible" without defining style. Just one year later Hill and Hughes (1974) reported the study "Variations in Leader Behavior as a Function of Task Type." Although this was a study of basically the same topic as Hill's 1973 study, throughout the study the term leader behavior is used instead of leader style. Even when reference is made to the 1973 study, behavior is used in place of style (Hill & Hughes, p. 84).

Leadership research gives considerable attention to the relationship between style and leader success or effectiveness and this is done without a consistent description or definition of the concept of style. The findings from the research have led to widespread acceptance of the position that there is little direct relationship between leader style and leader success for both are situationally mediated. A style that is successful in one situation may not be so in another. Related to this is another widely accepted proposition, that leader style is flexible and can be easily changed. A whole body of research has focused on the flexibility or rigidity of leadership style (Hill, 1973; Hill & Hughes 1974; Bass & Valenzi, 1974; Jago & Vroom, 1977; Hill & Schmitt, 1977) again without definition of the construct. Beliefs about the flexibility or rigidity of style are also reflected in leadership training programs designed to influence leader style or behavior (Hersey & Blanchard, 1977; Blake & Mouton, 1976).

Various arrangements of the elements of style can be found in the literature. For example, Hill (1973), in his study, described four leadership styles designed to represent varying leader attention to task and interpersonal emphasis. Style A was task orientation while Style D was

interpersonal orientation. Styles B and C were a mixture of the two. Bass, et al. (1975, p. 722) offered descriptors of style under the following titles:

| | |
|---|---|
| Directive | Extent you attain desired ends by telling your subordinates what to do and how to do it |
| Negative | Extent you employ political means and bargaining to gain desired ends |
| Consultative | Extent you discuss matters with your subordinates before you yourself decide what to do to achieve your ends |
| Participative | Extent you share a consensual decision-making process with your subordinates to achieve mutually agreed upon ends |
| Delegative | Extent you attain desired ends by leaving your subordinates free to make their own decisions |

Again, these seem to be elements of style, not descriptions of style.

In their study of the relationships between leadership style and hierarchical level of managerial personnel, Jago and Vroom (1977) speak of styles as the "degree and frequency of leader behavior" (p. 133). This research and definition are based on the Vroom-Yetton decision-making model.

Tannenbaum and Schmidt (1958) offer another set of styles that are also based principally on the decision-making behavior of the leader. Briefly described the styles are as follows:

The manager makes the decision and announces it

The manager sells his decision

The manager presents his ideas, invites questions

The manager presents a tentative decision subject to change

The manager presents the problem, gets suggestions, and then makes his decision

The manager defines the limits and requests the group to make a decision

The manager permits the group to make decisions within prescribed limits (p. 97).

These seem to be very similar to the styles presented by Bass above.

The shortsightedness of many studies in their treatment of style is suggested by McCall and Lombardo (1978) when they point out "a leadership researcher may see delegation activity as a leadership style and correlate it with group productivity, while, in many cases, delegation is a political tool used by leaders to create a desirable situation" (p. 158). Not only does a particular behavior not represent a style, one cannot accurately describe or understand the behavior without understanding the motivation for the behavior. The importance of motivation in understanding style is also emphasized by Fiedler (1978) and Tannenbaum and Schmidt (1958). Fiedler contends that effective group interaction is dependent on "... leader personality attributes, reflecting his or her motivational structure ..." (p. 60) and the situational control and influence of the leader. Tannenbaum and Schmidt maintain that a manager must consider three forces or motivations when deciding how to manage and one of these they term "forces operating within his own personality" (p. 98).

If research findings on style could be accepted without question then they would be most instructive relative to additional research on styles. But the findings cannot be accepted without question; there are compelling reasons to doubt their validity. The most critical reason for doubting the research is that it is not certain that it has investigated styles at all, instead the various studies seem to have focused on a range of independent behaviors. In large part this problem exists because there is no operational definition of style so researchers have focused on terms that represent <u>elements</u> of leader style, rather than <u>a</u> style.

Not only is the issue of style plagued by definitional and conceptual problems it has another serious problem. Invariably research on leadership

styles has begun with an identification and description of a style or elements of a style. Then leaders were observed or subordinates and leaders were questioned to see if the leader might or did exhibit the described style in different situations. This type of research predetermines to a great extent the outcomes for only a limited number of styles can emerge.

Does the leadership literature have anything positive to offer regarding change facilitator styles? Indeed it does. In spite of its problems with undefined and unexplained terminology it offers a wealth of descriptors of style such as those by Bass et al. (1975), Jago and Vroom (1977), Tannenbaum and Schmidt (1958). Given the fact that classifications such as those by Bass et al. and Tannenbaum and Schmidt are more similar than dissimilar it strongly suggests that there may be some congruence in those elements or characteristics called styles. Change facilitators can use these characteristics to look at their own actions to determine if they are as they think they are and want them to be.

Those who wish to plan programs for training change facilitators can be heartened by the claims in the literature that style is flexible and changeable through training. At the same time note should be taken of Jago's (nd) finding that there was no evidence to indicate that changing a leader's style resulted in greater effectiveness.

The heuristic nature of the leadership literature is perhaps its most significant contribution. Many hypotheses relative to the relationship between style and situation and change facilitator are suggested by the literature. Until such hypotheses are tested it will not be known which style or behavior is best in which situation.

## II. LITERATURE ON CHANGE

The previous section of this review looked at the phenomena of leaders and of general leadership theory. This section will focus on the facilitation of change as a function of leadership. What behaviors are exhibited by change facilitators? How is change facilitator behavior conceptualized in models? What are the characteristics of change facilitator effectiveness? What does the literature say about change facilitator styles? While the scope of this review of change facilitation literature necessarily has less depth and breadth than ultimately possible, it does appropriately reflect the available writings on the subject. The crux of the review of the change literature is that while many may say or opine what is necessary for facilitation, not many writers provide research-based principles or commentary on how the change facilitator behaves or what the facilitator does to be successful--the focus of this paper.

In 1974, Griffin and Lieberman inquired about educational innovators (facilitators). They were concerned about "the lack of systematic and intensive treatment of the behaviors of innovators in schools" (p. 1) and they were concerned that leadership seemed to be a set of "notions focusing on the attractiveness of people, charisma it might be called, (which) seemed to explain in a conventional sort of way why some people could exert powerful leadership and others could not" (p. 1).

To look beyond this "naive belief" about leadership, as Griffin and Lieberman labeled it, several models or theories typically found in the change literature will be considered and analyzed for what these models propose about how change facilitators should act or behave to be successful or effective. Though only a cross section of the literature will be examined, it is recognized that many distinguished writers have made a wide variety of

contributions to the change literature, such as Lewin (1936) who conceptualized the need for "unfreezing," "change" and "refreezing" in the stages of change, and Rogers and Shoemaker (1971) whose two-volume synthesizing work on diffusion research is a classic. Lippitt's (1973) unique contribution helps the student of change analyze, conceptualize and visualize the change process. House (1981) provides three intriguing perspectives on innovation -- technological, political and cultural -- and Elmore (1978) proposes four organizational models of change, which give "a thumbnail sketch of the implementation process." The assessment made by Gross, Giacquinta and Bernstein (1971) that "Only a small part of the literature considered the period during which the implementation (of the change) effort occurred ..." (p. 39) still holds today. These three authors concurred with others in decrying the "paucity of knowledge concerning the conditions influencing the implementation of organizational innovations" (p. 39). How change is implemented and how implementation is facilitated is the question under pursuit.

This section of the paper will investigate several models which address the process of change. They are models which are the most prominent, most frequently cited works and which have evident recognition. The three classifications of approaches to change which have been described by Chin and Benne (1969) are presented first. They are rational-empirical, normative-re-educative and power-coercive. These are followed by three types of change models articulated by Havelock (1971; 1973a), the social interaction, R,D&D (research, development and diffusion), and problem-solver models. An example of the problem-solving type of model is Organizational Development (OD). It is included in this review since it and the OD consultant or change agent have been the subject of much recent attention.

Other current models receiving attention and which are presented in the paper are the generically labeled linkage model, Goodlad's Responsive Model, the Concerns-Based Adoption Model and the Rand Change Agent Study Model. For each model a consistent format will be maintained and several questions asked: What are the key characteristics of the model? What does the model say for change facilitator actions, behaviors, and effectiveness or success? How is change facilitator style discussed and defined in the model?

## Three Models Described: Chin and Benne

Chin and Benne (1969) organized models of planned change into a three way classification: the empirical-rational approach, the normative-re-educative approach and the power-coercive approach.

### Empirical-Rational approach

The first, and basic, assumption underlying this approach to effective change is that men are rational and that men will follow their rational self-interest. Thus, if a change which is "good" and useful is suggested and in accordance with the self-interest of the person or group, the person will adopt the change if it can be rationally justified and shown that the person will gain by the change. Education as a means to improve human reason and extend knowledge is viewed as an antecedent to rational man, thus education and knowledge building is valued and encouraged. Therefore, a primary strategy of this model is the dissemination of knowledge which is gained from research and disseminated through general education. In order, then, to get knowledge into practice the "right person is needed in the right position" (p. 36) so that knowledge is applied and rational changes become implemented.

Technical resources, that is, systems analysts, are used as staff and as consultants in order to analyze the "input and output features and components

of a large scale system" (p. 38). Such technology could make it possible to focus on both the individual and the total system for developing strategies that respond to problems and make rational planning for change possible. Applied research and linkage systems are used for the diffusion of research results. The land-grant university and agricultural extension system, as an example, have been significant in the development and refinement of knowledge based technologies and in doing applied research. Further, the use of county agents as linkers who diffuse the results of this research also provides a way to communicate the unmet needs of their clientele back to the knowledge and research centers. In education, this two-way process has been nested in the federally supported research and development centers, regional educational laboratories, state departments of education, colleges or universities in a geographic area, national diffusion networks, intermediate service agencies and staff development personnel within school districts. The rational view generally ignores the fact that school systems are already crowded with existing ongoing programs, thus the generally passive though rational recipients may not have the necessary time to try to adopt the innovation.

This model also places emphasis on utopian thinking. Extrapolating from the knowledge available to a vision of what could be in the future contributes to action plans for changing. If such a vision is rationally persuasive, then men can be led to the trial and adoption of innovations. In addition, the empirical-rational approach involves man's perceptual and conceptual reorganization through the clarification of language. Simply, this refers to combating "unclear and mythical language" (p. 42) which contributes to man's superstitions which in turn is a "perceived foe of rational change and progress" (p. 42). Such a semantic approach would enable persons to communicate more clearly and reason more effectively, thus developing a basis

for change. This emphasis on interpersonal relationships overlaps with the second type of change strategies, the normative-re-educative.

Commentary

Characteristics of effective change facilitators. In describing the empirical-rational models, the authors do not explicitly attribute behaviors to facilitators who would support the phases of knowledge discovery, development and utilization, but actions can be inferred. The major roles of change agents would be to disseminate research to practice and to develop channels to reach passive recipients. Such linkages to consumers would include demonstration of new material, experimentation with new material, and training consumers to use the new material. These activities do not specify the behaviors in which a change facilitator would engage.

Styles. The styles employed by facilitators of the empirical-rational models are not discussed.

Normative-Re-educative Approach

The assumptions of this perspective on change are based on man and his motivation, man seen as actively in search of satisfying needs and interests. Thus, the individual does not passively accept what comes his way, but takes action to advance or impede according to his goals. Further, the individual is guided by social norms and institutions. And since individuals are guided by their values and habits, changes are not just rational responses to new information, but processing occurs at a more personal level to change habits and values. Normative structures and roles and the relationships of institutions also change at the social cultural level. The overarching principle of this model is that the individual must take part in his own re-education if he is to be re-educated (or changed).

The normative-re-educative process includes "direct interventions by change agents" (p. 44). These interventions fall within a theory of change and changing. The common elements of normative-re-educative strategies are, first, that they all focus on the client system and its involvement in the designing of programs of change and self-improvement. Second, there is no prior assumption that the clients' problem can be resolved by better technical information; rather, the problem (more likely) is within the attitudes, values or norms of various client system relationships. Any of these areas may need modifying or re-education for solving the problem. Third, the change agent works collaboratively in intervening with the client in order to identify and solve the client's problems. Fourth, elements which have not been public but which impede the solution of problems are given public examination and resolution. Fifth, resources to the change agent and client in confronting problems are selected from the methods and concepts of the behavioral sciences. Because "people technology" is as necessary as "thing technology," the change agent's central focus in changing is on clarification and reconstruction of values.

Two sets of approaches are germane to normative-re-educative models. One focuses on improving the problem solving capabilities of the system; thus, changes take the form of problem solving. The individuals in the system collaborate in problem definition and solution; the system is expected to maintain these processes. In these models, change agent interventions are broad in scope and typically include:

(1) collection of data, provision of feedback and collaborative planning to correct revealed dysfunctions.

(2) training of managers and others in problem solving through self-examination.

(3) developing acceptance of feedback.

(4) training internal change agents to do applied research, consultation, and training.

To develop the system's problem solving capabilities as called for in the normative-re-educative models, one approach is to direct change efforts to help the system to look at itself to identify problems, diagnose the problems to find factors that can be changed, and collaboratively determine solutions. A second approach is to release and foster growth in the persons who make up the system to be changed. This approach views the individual as a unit for change because the person is capable and creative and if obstructions are removed the person will rise to his highest potential. Thus, interventions are focused on helping the individual in continuous personal growth. Such activities could include:

(1) personal counseling

(2) training groups to support personal confrontation

(3) groups and labs which employ various communication modes to induce personal confrontation and continuing growth.

The two approaches of the normative-re-educative school have many similarities. Both use temporary systems (labs, workshops) with a consultant or change agent to aid growth in the members. Both promote learning that is experience-based and encourage learning to learn from experiences. Both approaches focus on open communication, trust, lowering of barriers between people so that re-education, as change, occurs. Both believe that change may occur within human systems, thus change does not need to be brought in from outside as in the power-coercive models.

Commentary

Characteristics of effective change facilitators. The authors specify direct change agent interventions for the normative - re-educative models. Such facilitators would work in a highly collaborative way with clients in the

solution of problems. The change agent might function as researcher, consultant, trainer, therapist or friend with the client and together they would employ tools from the behavioral sciences to focus on changing values -- the primary target of normative-re-educative models. The change agent works with the client and client system on two typical strategies to bring about change. One strategy is to improve the problem solving capabilities of the system, for which Chin and Benne specify a broad range of change agent interventions, such as collecting data, providing feedback, and collaborative planning. The other broad strategy is aimed at helping the individual in continuous personal growth, for which the change agent uses personal counseling, training, groups supporting personal confrontation and others. For the normative-re-educative models Chin and Benne report specific change agent activities though they do not specify behaviors that would describe how to do the activities.

Style. Facilitator style is not mentioned.

Power-Coercive Approaches

In the two previously described approaches power or influence was a factor, but in the power-coercive approach power is the dominant factor. The rational-empirical strategies depend on knowledge as a source of power, "... flow of influence or power is from men who know to men who don't know ..." (p. 52). Normative-re-educative strategies "... recognize the importance of noncognitive determinants ... values, attitudes, feelings ... Influence must extend to these noncognitive determinants of behavior ..." (p. 52). Power-coercive strategies emphasize political and economic sanctions primarily but also utilize moral power. Those employing power-coercive strategies try to obtain political and economic power for the changes they wish to gain.

There are several strategies for this approach but power is used in all of them. One is a strategy of nonviolence. Speaking out eloquently in an influential way is one form of nonviolence. Witnessing and demonstrating nonviolently is another variant. Economic boycotts and sit-ins are other forms.

The use of political institutions to achieve change is another strategy. Many changes in policies come through state level legislation. Judicial decisions also impact policy. However, it should be noted that political action may not result in a great deal of change in practices. The individual still needs to be re-educated in the new practice. Thus, normative - re-educative strategies need to be combined with political action if change is really to occur.

A third strategy is that of changing through the recomposition and manipulation of power elites. This strategy would imply that decision makers would be persuaded to support the intended change. It could also mean the election of different public office holders to change the composition and therefore the behaviors of influential or decision-making bodies.

Commentary

Characteristics of effective change facilitators. Chin and Benne cite the change agent in the power-coercive models as engaged in active support for a law or decision. No further explication is given -- though change agents are "warned" that they should not overestimate the power of politics for changing practice. It is suggested that re-education of individuals be coupled with power-induced policy changes.

Style. Again, change facilitator style is not considered.

To summarize, the three kinds of change models have been described by Chin and Benne in a philosophical way, considering the nature and intellect of

man and the types of models which would respond to man's varying views of himself and his universe. Little consideration is given to the change facilitator's role and behavior in the empirical-rational and power-coercive models. In contrast, quite a lot about the interventions of a change facilitator in the normative-re-educative models is expressed. These lists of activities for helping clients with change are cloaked in collaboration; this mantle is a major descriptor of normative-re-educative facilitators. No consideration in any of the models is given to facilitator style, though it could be inferred that the normative-re-educative facilitator must be thoroughly imbued with collaborative characteristics or traits.

What do the authors report about determining the models' or the facilitators' effectiveness or success? Procedures for assessing effective change are not dealt with, nor is the issue of defining change -- it is "sidestepped" (p. 34). Thus, identifying determinants related to effectiveness are premature and are not considered in the descriptions by the authors.

## Three Models Described: Havelock

In a more pragmatic way, Havelock proposes three types of models. Havelock (1971, 1973a) has identified three conceptualizations of the change process: Social Interaction; Research, Development and Diffusion; and Problem-Solver. Each will be discussed in turn.

### Social Interaction

Five assumptions support the models in the social interaction perspective, in which the individual is the unit of analysis and focus. It is assumed that 1) the individual is part of a network of social relations which influences his behavior; 2) the individual's place in the network predicts the

rate of his acceptance of innovations; 3) informal personal contact is very important to the adoption process; 4) group membership and reference group identifications are major predictors of adoption for individuals; and 5) diffusion rate in a social system follows a predictable S-curve pattern (initially slow, then very rapid, followed by another long, slow period).

It is assumed by persons who endorse the social interaction models that the innovation is in a fully developed form, ready for dissemination. Five stages characterize the social interaction process. The initial stage is awareness of the innovation, followed by interest and seeking information. Evaluation is followed by a trial stage, then adoption. Rejection could interrupt the process at any point. Though this model is seen as applying to individual adopters, it could be applied to groups or complete social systems.

This model specifies several generalizations concerning sources of help to the adopter. These seem to represent a facilitation process: (1) impersonal sources are most important at the awareness phase; (2) an expert, mass media or personal contact may serve as sources at the interest-information seeking phase; (3) personal sources assume greater importance at the evaluation or trial stages; (4) for adopting, the individual will use his own judgment. The role of the facilitator in this model would be more significant after the adopter is aware of the innovation and while the adopter is seeking more information. Information flow and media sources are important in this model where individuals within a specific social network seem to rely on each other, rather than on the dubiously credible outsider. It is intimated that opinion leaders in the network gain information from "experts" then share it with their associates.

This "natural" process of bringing about change suggests that it not be "tampered" with by a person in the role of change facilitator. However,

several "quasi-strategies" and a number of tactics are identified with the social interaction model (1973a, p. 160). Four strategies include natural diffusion, which suggests that after ten to twenty percent of individuals have moved through the five phases and accepted the innovation, most of the rest of society will follow in a natural way. Natural communication network utilization suggests that change agents would identify opinion leaders and circles of influence and use these key persons for the dissemination of information. Network building is important so that informal contacts may occur. Phasing multiple media approaches to correlate with the different stages of individuals in the adoption process suggests that different media are effective at different stages.

A number of tactics are utilized with the social interaction strategies. Mass media dissemination is used to reach opinion leaders in the social system. Local full-time experts, such as the county agent for an agricultural innovation, provide personal contacts for early adopters and opinion leaders; they also facilitate by arranging group meetings and doing demonstrations. Salesmen, as a type of "county agent," may be more able to reach more individual members of the social system thus providing contact to more isolated parts of the system. Another tactic is the use of prestige suggestion, or "name dropping." Potential adopters are told of significant others who have endorsed and adopted the innovation. Thus, utilizing opinion leadership is a tactic to encourage the natural workings of the social interaction process. If opinion leaders are identified and influenced positively about the innovation, then their consequent influence is useful.

Commentary

Characteristics of effective change facilitators. The social interaction model has generated several strategies or intervention alternatives. However,

among those cited there is a lack of specific descriptions of change facilitator behaviors to operationalize the strategies. In essence, this natural process is effective when ten to twenty percent of the target persons have adopted. The change facilitator contributes to the process through limited and narrowly focused activities such as managing the information flow and influencing opinion leaders to adopt.

Style. The style of such facilitators is not addressed.

Research, Development and Diffusion

In the school of thought which proposes this type model the emphasis is on the planning of change on a large scale. This perspective is guided by five assumptions: 1) there should be a rational sequence -- research, development, packaging, dissemination -- for evolving and applying an innovation; 2) there should be large scale, lengthy planning; 3) there should be a division and coordination of labor directly related to the rational sequence and planning; 4) there is a passive but rational consumer who accepts and adopts the innovation which is provided appropriately; and 5) the expensive costs of development at the outset are acceptable because of the innovation's benefits of efficiency, quality, and suitability for mass audience dissemination.

The R,D&D models conceive change as an orderly, planned sequence beginning with problem identification, finding or producing a solution, then diffusing the solution. The major part of the action is taken by researchers, developers and disseminators; the adopter or receiver is passive. Few of the models included in this type include all of the activities proposed as components of the models. The components are conceived to be Research, Development, Diffusion, Adoption. The results of Research may lead to an innovation if an application is developed. The Development activity is

divided into invention and design. Invention may or may not be based on research but is expected to produce an initial conceptualization of the innovation; design is meant to "engineer" the initial form into a suitably appropriate package. Like Development, Diffusion is subdivided, into dissemination and demonstration phases. Widespread awareness is the aim of dissemination, while demonstration of the innovation makes it possible for potential adopters to examine and evaluate its utility.

Adoption, the final component, includes three subparts: trial, installation, institutionalization. The trial stage is just what it suggests, trying it out. If the trial is successful then fitting the innovation into the institution is the next step--installation. The process has been completed at institutionalization--the establishment of the innovation in the institution so that it is changed into a "non-innovation," that is, it is no longer seen as an innovation but as an ongoing program. Accomplishing this in the institution might be thought of as the measure of success or effectiveness of the R,D&D model, though evaluating educational innovations is neglected since there are few clear criteria for educational effectiveness.

Some common strategies derived from R,D&D are the development of high performance products which guarantee "user-proof" implementation and information system building which will produce channels for diffusion and innovation. Another strategy is the engineering of diffusion projects and programs to include planning, packaging, preparation for the target audience, multi-media presentations, follow-up and evaluation and documentation. The strategy of experimental social innovation makes it possible to field test the innovation for better results.

The strategy of administered and legislated change, another R,D&D strategy, assumes that a successful and beneficial innovation is mandated for

implementation. The fait accompli strategy suggests the immediate installation of the innovation without the earlier steps of awareness. The systems analysis approaches to innovation begin with an analysis of the ideal model and comparison to current practice, thus identifying areas where change should be made--on a systematic prioritized basis.

The tactics of the R,D&D strategies are research tactics (hypothesizing, design, sampling, instrumentation, etc.); in addition, there are tactics of development and diffusion. A few of these are: experimental demonstration, research evaluation of adoption success and failure, user need surveys (for use in the design and development phases), successive approximation (adapting the original theoretical model of the innovation into a practical useful one), translation (of research findings into usable practice), and packaging for diffusion.

Commentary

Characteristics of effective change facilitators. It is clear from the strategies and tactics related to the RD&D models that the change facilitator's role lies in the development and diffusion areas, with few actions targeted to helping the user implement the innovation once it has been delivered.

Style. Facilitator styles if not considered.

Problem-Solver

This third perspective on change presented by Havelock seems to be supported by persons from the group dynamics human relations tradition. Five positions are advocated by the problem-solving perspective. The most important position is the consideration of user need about which the change agent should be primarily concerned. The second point is that diagnosing need is an

integrated part of the change process. Thirdly, the change agent is to be non-directive with users, and is not to be perceived as an "expert." Fourth, internal resources should be fully utilized. Finally, the strongest user commitment will come from self-initiated and self-applied innovation.

The Problem-Solver models, unlike the Social Interaction and R,D&D models which consider the innovation adopted as the receiver and the target of the change process, involve the receiver throughout the process in collaboratively solving his problems. Change agents work as resources along with the receiver. A typical model of this type would include seven phases, expanding on Lewin's (1936) three stages:

(1) developing a need for change includes problem awareness plus an interest in changing plus interest in gaining help external to the system, in the form of a change agent.

(2) establishing a change relationship--this phase depends upon how the client system and change agent work together, in communicating, building trust and understanding, sharing interpretations of the client problems.

(3) diagnosing the client's problems--this phase can become problematic if obtaining information is difficult for the change agent, or if the change agent's interpretations of the client's problem encounters hostility.

(4) examining alternatives and establishing goals and planned actions--this period of translating intentions and ideas into action requires endorsement by the clients.

(5) transforming intention into change efforts--in this phase the innovation is adopted.

(6) stabilizing the change--the change is successful if it remains stable in the system.

(7) terminating the client system/change agent relationship--the relationship must be maintained until change is stabilized but the dependency must be resolved and terminated, and is best done if the client has developed problem solving skills.

Several strategies have been derived from the problem solving models. System self-renewal proposes that an internal problem-solving capacity can be developed through collaboration with consultants who provide training in "process" skills. According to Havelock the action research strategy involves the possibility of collaboration of social scientists with system personnel in diagnosing and evaluating problems, and in using research methods in collecting and analyzing system data. System personnel gain by receiving useful data and by developing improved scientific approaches to their problems. Beyond action research is the collaborative action inquiry strategy which involves practitioners and researchers in the collaboration and conduct of all research and intervention activities. The human relations laboratory strategy aims at improving problem-solving capacities for individuals and entire systems or organizations. Consultation is a way to help a system help itself by using reflection and feedback. Lastly, helping individuals to share innovations that introduce new practices is a strategy for reinforcing user-developed innovations. Tactics related to the problem-solving perspective would include T-group, sensitivity training group, reflection, authentic feedback, role playing, group observation and process analysis, deviation conference, survey feedback, brainstorming and synectics (systematized brainstorming combined with experiment and other problem-solving steps to produce invention and innovation).

Commentary

Characteristics of effective change facilitators. Although the emphasis of the problem-solving model is on the "receiver" and his interactive and collaborative problem solving activities, there is specified an important role for the consultant or change facilitator who would be significant in supporting and helping the client system in these activities. It is obvious that change facilitators who work in this special way require special skills of relating and working with their clients. However, particulars for the facilitator in the problem-solving models are not specified by Havelock.

Change by problem-solving is effective or successful if it remains stable in the system. It is also intimated that success means terminating the dependency on the change agent relationship, but how this is accomplished is not explicated. The social interaction process of change is considered effective when ten to twenty percent of the target has adopted the change. The assumption is that everyone else will "naturally" follow in adopting. Becoming a "non-innovation" is the goal of successful R,D&D models. This means that the process of R,D&D has been completed when the innovation is institutionalized and is part of the ongoing program, and is not seen as an innovation. Exactly how to measure "non-innovativeness" is not reported. How change facilitator effectiveness is determined, except through inference about the model's success, is not addressed.

Style. In summary, change facilitator style is not cited in the writings of any of the three types of models, but Havelock does state that "the concept and role of the change agent is central to the formulation and implementation of strategy" (1973, p. 239). For the purpose of selecting the best strategies, Havelock states that "the change agent should evaluate his own style and skills ..." (p. 153). Thus, one may construe that for Havelock

various change agent or facilitator styles do exist. Further, he states that "skills have to be learned" (p. 153). One of these skills which the change facilitator must develop is that of leadership among the clients to be served. While the significance of leadership, behaviors, skills and style are considered, no illumination by Havelock is brought to these important change facilitating requirements.

## Organizational Development Model (OD)

One of the best known strategies for change, typifying the problem solver approach, is Organizational Development (OD). OD had its beginning in business settings and approximately fifteen years ago was adapted for use in schools. Although it is proposed as a strategy rather than a model or theory, it has the characteristics of other models in that it is based on a set of assumptions about change, is composed of seven distinct components or dimensions and has definite implications for how change should be accomplished (Schmuck, Runkel, Arends, & Arends, 1977).

A basic assumption of OD is that the nature of the group or the organization is the source of many of the problems related to changing schools. "It is the dynamics of the group, not the skills of individual members, that is both the major source of problems and the primary determiner of the quality of solutions" (Schmuck, et al., 1977, p. 3). Clearly, the focus of change for OD is the organization, not the individual.

OD views schools as systems of people working interdependently at tasks and eventually moving into collaboration with other sets of individuals as they move from one task to another. In schools, OD is used to distinguish what happens at the interpersonal level, the subsystem level, and at the level of the organization as a whole. As for individuals, this model leaves "...

the processes and structures within individuals to the individuals themselves, their ministers, and their psychiatrists" (Schmuck, et al., p. 9).

A major objective of OD consultation is to bring about effective functioning of subsystems. Subsystems are amorphous entities comprised of people, supplies, space, and information; they perform the many functions that constitute a school. Development of organizational adaptability is the ultimate goal of OD and improving subsystem effectiveness and interpersonal skills are the core strategies for accomplishing that goal. The skills necessary for subsystem effectiveness are described by Schmuck et al. (1977) as seven interdependent capabilities:

1. Clarifying communication. This skill is essential so that giving and receiving information within the subsystem, as well as between it and other subsystems, becomes more precise. Ambiguity and conflict about the norms of the subsystems and roles of individuals can then be lessened. On this basis interpersonal trust can develop which will suggest a climate that is perceived to be open and authentic.

2. Establishing goals. Sharpening individuals' understanding of goals contributes to the identification of efforts which are needed to achieve the goals. Developing greater ownership of goals is enhanced by the recognition of multi goals within the various system structures and the subsequent acceptance of goal differences.

3. Uncovering and working with conflict. When conflict is confronted, it can help to clarify norms and roles thus aiding the organization in achieving its tasks. The norm of avoiding conflict can be replaced by norms for collaborating. Clarifying the roles of individuals can contribute to the utilization of diverse staff capabilities and also to diverse value systems.

4. Improving group procedures in meetings. To make group meetings more productive, procedures should be selected to increase the productivity of tasks and maintain the group. Increasing group integration can be facilitated in meetings if problem-solving strategies are employed that engage the group's human resources in a maximum way.

5. Solving problems. Identifying, analyzing and acting are included in the problem-solving cycle. Engaging human resources in creating solutions is more successful than simply operating on past practice. Collaborating skills increases risk taking by persons in trying out new ways of doing their tasks and performing their functions.

6. Making decisions. Subsystems must be able to translate decisions into action, which is facilitated when individuals understand the decision and believe in it.

7. Assessing changes. Criteria for evaluating progress toward goals is important. Subsystems should be aware of the content of the changes they propose and attend also to the process of change during their efforts.

Successful implementation of OD is dependent on a number of variables, (Schmuck, et al., 1977). There must be strong support from top management, and by building principals, in particular there should be acknowledgement by district personnel that the actual state of affairs in schools is not ideal. Readiness of the organization is needed and readiness includes good communication skills. Open communication among personnel is valued and desired for collaborative efforts and general agreement on educational goals. It is especially important that the organization have enough time to be properly introduced to OD and how it works. One academic year including approximately 160 hours of direct OD work by staff is an appropriate amount of time for a moderately large school if its readiness level is appropriate.

During the period of introduction and implementation of OD, the guidance of trained and skilled OD consultants is required. The consultant is more likely to be helpful to the school in changing if the school staff makes active use of the consultant. For the change to be maintained continuity of the school principal is important and it is recommended that the principal stay with the school for at least a year after the outside consultants leave. When carrying out their work, OD consultants will typically use four types of interventions: training, data feedback, confrontation, and process observation and feedback (Schmuck, et al., 1977). If the OD effort is on a large scale, the interventions of problem-solving, planning, establishing a continuing OD task force, and modifying technostructural activities of the client system may also be added to the strategy (Schmuck & Miles, 1971). The development and utilization of internal consultants in combination with the use of external consultants is important. If schools do not build internal capacity and/or become dependent on external consultants, then long term institutionalization may not occur.

In brief, institutionalization of OD is achieved when it is a part of the school or district budget, when it is operationalized by internal staff who train others, and when it is perceived as the modus operandi of the organization.

How is the success or effectiveness of OD determined? Fullan, Miles and Taylor (1981) revealed that success is most frequently reported in terms of impact on the adults in schools but they maintain student benefits must also be considered as a criterion for success. Effectiveness of OD may also be judged in terms of human processes in organizations and organizational performance and adaptability. Schmuck, et al., (1977) also classify outcomes at three levels: interpersonal, subsystem and organizational.

To assess the results of OD, Fullan, Miles and Taylor (1981) analyzed empirical studies conducted in school systems and reviewed reviews to determine what is known about OD. From their review and synthesis came a number of findings and conclusions. The first conclusion was that "... the probability that any given OD program, in or out of schools, will be 'successful' is perhaps .5 or less. Failures are as likely as success" (p. 49-50). But they immediately offer a number of reasons associated with the research methodologies and difficulty of data collection which qualify those less than optimistic findings. These authors point out that a number of other writers believe that OD is not a viable change strategy and has outlived its usefulness but Fullan, et al. take the position that the problems that plague OD are not due to the basic tenents of the strategy but to the way it is used. They acknowledge that OD is complex and labor-intensive but claim that if used correctly it does generate positive results. Perhaps it is that belief that leads them to the conclusion "that OD is a useful strategy for school improvement" (p. 58).

Commentary

Characteristics of effective change facilitators. In terms of the actions required of the consultant or facilitator of OD there is not much specific information. The work or role of the consultant is described principally by the tasks they are expected to perform more so than by the specific behaviors they are to use.

Style. Schmuck, et al. (1977) feel that the formal leader of the school should have a participative style but they do not mention a desired style for the OD consultant.

## Linkage Model

Essentially this model is concerned about just what its name implies, establishing "communication networks between sources of innovations and users via an intermediary facilitating role either in the form of a linking agent or a linkage agency" (Paul, 1977, p. 26-27). There is not a single linkage model but Paul (1977) conceptualizes five components of promising models:

(1) User Problem Solving and Helping

Focus on helping user groups develop capacity to solve problems and on identifying users to help in dissemination and implementation activities.

(2) Need Sensing

Focus on developing mechanisms for regularly determining user needs and for transforming needs into problem statements.

(3) Client-Centered Solution Building

Focus on doing research which is directly applicable to users and for exploring problems at the time they are critical for users.

(4) Solution Processing Channels

Focus on producing summaries of research, rewriting findings into language users understand, identifying important users for specific findings, and selecting appropriate channels to research users.

(5) Micro-System Building

Focus on establishing structures so that users and researchers can work together on joint projects and exchange information.

In a review of recent major studies of linking agents Hood (1982) characterizes linking agent programs and projects in a slightly different way:

1. They emphasized highly interpersonal forms of communication to link school personnel with external sources of knowledge and expertise;

2. They emphasized bringing to the attention of educators new educational practices, especially those resulting from systematic research and development or practitioner-developed and validated demonstrations. Then they assisted educators in

selecting and implementing new practices appropriate to specific local needs;

3. They provided educators with technical assistance in identifying needs, defining problems, searching for and selecting appropriate solutions, and in planning for, implementing, and evaluating selected solutions;

4. As part of this process, they provided educators with new competencies, not only for using the new practices, but also for improving the problem-solving practices of their schools; and

5. They provided feedback from educators to information resource specialists, trainers, R&D staff, agency and project administrators, and policy makers.

En toto these ten statements typify linkage models for bringing about change.

The key function of the linking agent, then, whether the agent is internal or external to a school system, is to facilitate the work of persons involved in change or improvement activities. The objective is to help these persons to acquire and use relevant ideas, products and related sources. The linker would increase the kind and amount of information that could be used for decision-making.

Who is the internal and external linker? Internal linkers are located within the educational system and are concerned about improvement in their systems. External linkers may be located in state education agencies, intermediate service agencies, departments and other units in institutions of higher education, educational labs, and networks or organizations developed to serve multiple systems.

Three factors distinguish linking agents from non-linking agents. "First, linking agents direct their actions at the improvement of individual or institutional performance. Second, they use knowledge or knowledge-based products and services as key instruments of improvement. Thirdly, in order to connect those engaged in change with ideas, findings, descriptions of practices, training materials and other needed knowledge-based products, they must perform boundary-spanning roles" (Nash and Culbertson, 1977, p. 2-3).

To qualify, linkers must meet all the above criteria. The emphasis is on linking organizations which can use new research and its products with organizations which produce new research products. It is assumed that users of new knowledge live in a system different from creators of knowledge and that the systems are incompatible. Thus, interaction must be achieved through sensitive linkage. The key role for the linking agent is spanning the boundaries of the two systems in order to bring about closer collaboration. In order to do this normative - re-educative or empirical-rational strategies would be utilized (Paul, 1977).

Lieberman indicates the necessity for linkers to work with "both a people and task orientation" (1977, p. 176). Lieberman further adapts Havelock's 1971 work to identify roles and functions of the linking agent. The nine roles/functions which she sites are: Conveyor carries information, Consultant aids in problem identification, Trainer helps user understand knowledge and practices, Leader effects linkage through power or influence, Innovator initiates new ideas, Defender sensitizes user to problems, Knowledge builder opens up users to new ideas, Practitioner as linker engages clients as linkers, User as linker initiates activities on own behalf (1977). These roles suggest the range of possibilities of what linkers can do; they do not specify behaviors of the linker.

Crandall (1977) delineates ten linking agent roles and suggests attributes and skills required for each role. The ten roles are the product peddler, the information linker, the program facilitator, the process enabler, the provocateur/doer, the resource arranger, the information linker, the technical assister, the action researcher/data feedbacker, the educateur/ capacity builder. Culbertson (1977) synthesizes linker skills, drawn from many writers, into several schema. The skills range from "helping clients

conduct needs assessments" (Schema VI, p. 298), to "coping with divided loyalties" (Schema VII, p. 299), to "arranging the needed 'mix' of resources" (Schema VIII, p. 300). Lipham suggests that the school administrator can serve as a linking agent, spanning the boundaries and bringing resources from the larger environment to the local school. In order to be prepared to exercise this role, administrators will need competence in "educational change, program knowledge, decision involvement, instructional leadership and facilitative environments" (Lipham, 1977, p. 144).

Thus, a broad, but overlapping, array of roles, functions, and skills for linkers has been specified by numerous writers. It is easy to understand the kinds of functions linkers will deliver; it is difficult to gain a sense of how writers would describe the successful linking agent. Crandall (1977) suggests that the "complete linking agent" is a generalist specializing in utilizing resources and in blending other technical skills as appropriate for particular situations with clients. Thus, the complete linking agent is one who has acquired a broad array of skills and understandings (see p. 265). How the "complete linking agent" is determined to be the "effective linking agent" or "successful linking agent" is not defined.

An example of linking efforts to promote effective knowledge use and school improvement was the R&D Utilization (RDU) Program, funded by NIE, to deliver services and resources to client schools. A study of seven demonstration projects provided the opportunity to examine the linking strategy, that of interorganizational networks, for fostering school improvement. How effective were these networks: Were they able to deliver high quality services to schools? Were they able to encourage knowledge utilization and school improvement? Technical assistance and training to improve the problem solving skills of the school and/or district level staff

would be provided.

In "an overwhelming majority of the schools" an externally developed innovation from the approved knowledge bases of the projects was adopted and implemented. School personnel were pleased with their innovation and planned to continue use. There was next to no negative effects reported (Louis & Rosenblum, 1981). Thus, projects were viewed as successful in developing knowledge utilizers.

Among the seven study projects which were using different linking models, generalized characteristics of external assistance (a component of the service delivery) found to be important were:

> the degree to which the field agent took initiative in providing services;
>
> the intensity of field agent services reflected in field agent time on site;
>
> the total amount of training received by school personnel from expert trainers or consultants; and
>
> the variety of types of providers of training (Louis & Rosenblum, 1981, p. 148).

Commentary

Characteristics of effective change facilitators. The linkage models depend in a very focused way on the linking agent's knowledge of new products and this facilitator's ability to persuade and help others to use new resources. The roles in which linking agents should engage have been abundantly suggested, as have been their functions. In the assessment of the RDU linking projects by Louis and Rosenblum, field agent initiative and field agent time on site, and the amount of training and variety of trainers, were found to be important. These indicators provide strong messages about

effective change facilitators.

Style. The kind of style to be used by the linking change facilitator is not suggested.

## Responsive Model of Educational Improvement

Another problem-solving model is Goodlad's Responsive Model of Educational Improvement (1975). Goodlad does not propose the selection of a particular innovation for school improvement; rather, he "promotes a process" (p. 97) to be developed and refined over time by the school unit, so that "a school could change itself so as to be more satisfactory ..." (p. 176). The process is DDAE -- dialogue, decision making, action, evaluation. This process helps each school to become self-renewing. It is a problem-solving process in which staff members are sensitive to and address their own school's needs and goals, an "inner" process as Goodlad calls it (Neale, Bailey & Ross, 1981, p. 130). In addition, Goodlad states that an "outer" process is required -- a process that identifies and uses outside resources.

In the first step, dialogue is the continuing interaction and communication within the school in discussion of school affairs. Decision-making is the consideration of alternatives and selection of a course of action for implementation. Action is equal to implementation. Evaluation is the process whereby the staff assesses how well the course of action is functioning.

According to Neale, et al. (1981), Goodlad's indicators for measuring a school's receptivity to change include: scope, How extensive is participation in dialogue and decision? importance, Is the DDAE process really important to staff members? relevance, Is the dialogue of the staff part of the central issues of the school and not part of the periphery? flexibility, Is there an

atmosphere of experimentation with evaluation contributing to changes in future practice?

External linkages are presumed to be important to stimulate changes in the local school culture and this is demonstrated in this model. Filling this role was the League of Cooperating Schools. The League was a network of schools whose staffs participated with Goodlad in engaging in and studying change efforts. They form a support group and idea exchange.

Commentary

Characteristics of effective change facilitators. The model recognizes how difficult it is to make change occur in school organizations but its emphasis on flexibility permits adaptation to local conditions. Neale, et al. (1981) state that the model lacks the explication of specific guidance on how to proceed and that it provides suggestions only in broad terms about how to move through the stages of school improvement. Many agencies served the network of schools but there is no "systematic documentation from which the effectiveness of various alternatives might be determined" (Goodlad, 1975, p. 179). Thus, there are no guidelines about effectiveness of the model nor the success of the change facilitator.

Style. There are no recommendations about appropriate behaviors or styles of change facilitators, though the external change agent is exhorted to "be trying to help that (school) culture develop an awareness of and a responsiveness to itself" (Goodlad, 1975, p. 177).

## Concerns-Based Adoption Model

Observing, opining and theorizing about change is common in the literature. What is not so common are models which have been articulated out

of research on change. One such model which has been in the process of development is the Concerns-Based Adoption Model (CBAM) (Hall, Wallace & Dossett, 1973).

This model, which centers on the needs of individuals in the change process, provides guidance to the change facilitator. The CBAM is an empirically-based conceptual framework which outlines the developmental process that individuals experience as they implement a new innovation. There are seven basic assumptions which provide guidelines for structuring the change facilitator's activities. First of these is the belief that change is a process, not an event; therefore, change requires time, energy, and resources to support it as it unfolds. Second, change is accomplished by individuals first, then institutions. When the persons in an organization have changed, then it can be said that the organization is changed. Third, change is a highly personal experience, which is congruent with the attention on the individual as the unit of analysis in this model. Individuals change at different rates and in different ways. Fourth, change entails developmental growth in both feelings about and skills in using new programs, thus, individuals change in two important ways over the course of a change experience. Fifth, interventions should be targeted for the individual rather than the innovation. The feelings and skills of the individual should be taken into account when designing actions to support the change process, in addition to consideration of implementing the innovation. Sixth, the change facilitator needs to be adaptive to the differing needs of differing individuals and to the changing needs of the individuals over time. Last, the change facilitator needs to consider the systemic nature of the organization when interventions are made. That is, activities targeted or made in one area of the system may well have unanticipated effects in another.

In essence, the model views the change facilitator as a person who has access to resources. The resource system may include a wide or narrow variety of resources. The change facilitator also has CBAM tools for collecting diagnostic information about the individuals and the innovation during the process of change. After diagnostic data are collected, the change facilitator can make concerns-based interventions selected from the resources available and targeted appropriately toward individuals. The model contains descriptive/diagnostic elements and prescriptive/intervening concepts. The diagnostic component includes three parts: Stages of Concern, Levels of Use, Innovation Configuration. Stages of Concern (Hall, George & Rutherford, 1977) describes the concerns that individuals experience during the change process. These range from early concerns about "self," to concerns about "task," and finally to concerns about "impact." Reliable and valid instruments for measuring the seven Stages of Concern have been developed.

The second part of the diagnostic component, Levels of Use (Hall, Loucks, Rutherford & Newlove, 1975) describes how performance changes as the individual becomes more familiar with an innovation and more skillful at using it. Eight distinct Levels of Use have been identified. Individuals first "orient" themselves to the innovation. Typically, they begin to use an innovation at the "Mechanical" level where planning is short-term and organization and coordination of the innovation are disjointed. As experience increases, innovation users move to the "Routine" Level of Use and eventually may reach various "Refinement" levels, where changes are made based on formal or informal assessments of client needs. A focused interview procedure has been developed to assess Levels of Use.

A third diagnostic dimension, Innovation Configuration (Hall & Loucks, 1978) describes the various forms of an innovation that result when users

"adapt" it for their particular situations. A procedure for identifying various configurations of an innovation that are in use has been developed.

Two frameworks for conceptualizing and analyzing interventions form the basis for the prescriptive component of the CBAM. These frameworks are the Intervention Taxonomy and the Intervention Anatomy. The Intervention Taxonomy (Hall, Zigarmi & Hord, 1979) provides a way for the change facilitator to look heuristically at and plan a change effort. It is characterized by five planned or sponsored levels (Policy, Game Plan, Strategy, Tactic, Incident) which are distinguished generally by their size, their magnitude or scope, and the extent of their impact (how many individuals are affected and the duration of the action). A sixth level, Themes, results from unplanned effects and actions.

The Intervention Anatomy (Hord, Hall & Zigarmi, 1980) codifies the internal parts of intervening actions, providing change facilitators with a framework for designing individual interventions. This framework or coding schema identifies the dimensions or attributes of the intervention in terms of its Source, Target, Function, Medium, Flow, and Location. Each of these dimensions is further described by various "kinds" of each dimension.

The CBAM proposes that the change facilitator proactively helps and supports the individual in innovation use, and that the help be related to the Stage of Concern, Level of Use and Innovation Configuration of the individual. An initial effort has been made to prescribe actions to be taken by the change facilitator to respond to the individual's Stage of Concern (Hall, 1979) and to train administrators in facilitating change (Hord, Thurber & Hall, 1980).

There are several applications of the CBAM for change facilitators. One involves the setting of goals for the use of a new program. Using the descriptive dimensions of the model makes it possible to articulate clearly

how individuals should change and what the innovation should look like in use. A second application involves the design of training and other interventions to help the individual implement the innovation, keeping in mind the goals that have been established, the developmental nature of concerns and use and the resources available. As implementation progresses, the CBAM concepts and tools can be applied to monitor and evaluate the extent and quality of use of the innovation.

As a result of several recent implementation studies by the CBAM staff three change facilitator styles have been identified: Initiator, Manager, Responder. Other researchers refer to behaviors or to types of behaviors; CBAM researchers (Hall, Rutherford & Griffin, 1982) speak specifically about change facilitator styles and the behaviors associated with those styles. Based on research conducted in nine elementary schools in three separate districts, they identified the following three facilitator styles:

> Responders place heavy emphasis on allowing teachers and others the opportunity to take the lead. They see their primary role as administrative; they believe that their teachers are professionals who are able to carry out their instructional role with little guidance. Responders do not articulate visions of how their school and staff should change in the future. They emphasize the personal side of their relationships with teachers and others. Before they make decisions they often give everyone an opporunity to have input so as to weigh their feelings or to allow others to make the decisions. A related characteristic is the tendency toward making decisions in terms of immediate circumstances rather than in terms of longer range instructional and school goals. In this sense they remain flexible and willing to make last minute changes in decisions.
>
> Managers represent a broader range of behaviors. At times they appear to be very much like Responders and at other times they appear to be more like Initiators. The variations in their behavior seems to be linked to how well they understand and buy into a particular change effort. In general they see to it that basic jobs are done. They keep teachers informed about decisions and are sensitive to teacher needs. When they learn that the central office wants something to happen in their school they see that it gets done. However, they do not typically initiate attempts to move behond the basics of what is imposed. Yet, when a particular innovation is given priority they can become very involved with their teachers in making it happen.

> Initiators seize the lead and make things happen. They tend to have strong beliefs about what good schools and teaching should be like and work intensely to attain this vision. Decisions are made in relation to the goals of the school and in terms of what is best for students, not necessarily what is easiest or will make students the happiest. Initiators have strong expectations for students, teachers and themselves. When they feel it is in the best interest of their school, particularly the students, Initiators will seek changes in district programs or policies or they will reinterpret them to suit the needs of the school (p. 13-14).

The description of these styles includes specific behaviors and other factors felt to contribute to characterize the facilitator. Research that attempts to relate these styles to change facilitation success is currently underway. Preliminary analysis of the data from the study indicate that there was a greater degree of implementation in schools headed by Initiator or Manager principals.

Commentary

Characteristics of effective change facilitators. This model recommends that change facilitators base the selection of their intervention activities on the diagnosis of individuals involved in the change effort by use of the model's diagnostic measures. A further recommendation is that the use of the model's intervention frameworks can aid in the consideration of intervention actions to be taken. The particular behaviors of the change facilitator and actions to be taken that respond to specific diagnoses are yet to be prescribed but are under development. Current development work on the model by RIP staff includes conceptualizing a procedure for determining the success of change efforts in terms of user implementation of change.

Style. The CBAM model focuses on change facilitator style. Are the three styles identified representative of the entire range of possible styles for facilitators? How do the styles relate to effectiveness of the

facilitator? What is the relationship of the CBAM styles to facilitator behavior? Further discussion about this research on CBAM styles and change facilitation is included in the next section of this paper on the principal literature, since the styles identified resulted from CBAM research studies of the principal.

## Rand Change Agent Study Model

Like the CBAM, the Rand change agent study model came out of research on change in educational settings. Much attention has been directed at the Rand Change Agent Study (Berman & McLaughlin, 1978). Neale, Bailey & Ross (1981) comment on this model which views change as a complex developmental process. In brief, the model suggests that schools change as new practices gain support, are adapted to the local situation and become integrated into the regular operation of the organization. The Rand Model identifies three stages in the change process: initiation, or securing support; implementation, that is, the proposed change and the school are both changed in a process of "mutual adaptation;" and incorporation, the stage when changes become a permanent part of the system.

Implementation of successful projects in the Rand Study were characterized by adaptive planning, or constant planning to adapt a change to the local setting. In addition, line staff training was provided to meet the needs of local school personnel. Local material development or adapting materials to the needs of the local school was a process characteristic. Finally, a critical mass of innovators to provide support to one another for the innovation was required for success. Although external support for the local change process is an important aspect of the model, specific steps to facilitate a school improvement effort are absent. Though the Rand Model (if

it is a model) provides much in terms of knowledge and understanding about the change process, it lacks published materials for guiding the change facilitator. Nor does it address change facilitator style.

The findings from the Rand Study indicate that effective implementation is critically related to mutual adaptation and that a receptive institutional setting is necessary. Thus, the extent to which innovation adaption occurrs in the setting can result in three possibilities:

1. Nonimplementation -- the setting or "users" did not change nor did the innovation. The new project, or innovation, may have been overprescribed or may simply have been ignored if it was seen as not meeting needs or interests.

2. Cooptation -- the project was changed much beyond its original design to fit staff needs and there was no change in institutional practice. Such "implementation" could be viewed as quick and easy.

3. Mutual adaptation -- both the project and the institution changed. The design of the project might be modified, amended or simplified. At the same time staff were changing behaviors or attitudes as they introduced and implemented the project into their classroom practice (Berman & McLaughlin, 1978).

Implementation outcomes depended on internal factors: of organizational climate, motivation of participants, the implementation strategy used by the local leaders and the scope of the change. In terms of organizational climate the active support of the principal was very important. When teachers perceived that principals liked a project and the project had the principal's active support, the project fared very well. "In general, the more supportive the principal was perceived to be, the higher was the percentage of project goals achieved, the greater the improvement in student performance, and the more extensive the continuation of project methods and materials" (Berman and McLaughlin, 1978, p. 31). The principals major contribution was in giving moral support to the staff which was critical for the continuation or institutionalization of the project.

Project directors were also important in providing training for teachers in acquiring new behaviors, important in the initial stages of implementation. Thus, the director was needed more at the outset of the effort, and not for continuation purposes.

It is instructive to examine the elements of the implementation strategy that positively related with institutionalization. These were training for teachers, which was specific to them, concrete and on-going; and classroom consultation and advice from resource personnel. Observing more experienced teacher peers in other classrooms as they operated with the projects provided opportunities for problem solving and reinforcing new users. Project meetings whose agenda attended to practical problems of project use and sharing suggestions had positive effects. Teacher participation in decision-making postively related to effective implementation and continuation -- in this action, they "bought into" the project. Teacher participation in developing materials at the local level also promoted commitment. Finally, involvement of the principal in project training activities was a powerful element of the implementation strategy.

Technology, project resources and federal management strategies did not affect outcomes. Successful implementation was characterized and successful projects were defined by "1) fidelity of implementation ...; 2) perceived success (the opinions of local staff members); 3) change in behavior; and 4) continuation (in terms of expected life after federal funds were terminated)" (Neale, Bailey & Ross, 1981).

It might be noted that Datta (1980) has presented alternative interpretations of the Rand study data. She suggests that the data from this study, undertaken to explore the effects of federal funding for educational innovations at the local level, deny the case for local problem solving and

the mutual adaptation approaches to change described above.

Commentary

Characteristics of effective change facilitators. It is obvious from the Rand Study that a change facilitator would support local users in adapting the "change" to their particular setting and adapting materials to local needs would be specific tasks for the attention of the facilitator. One might wonder to to what extent the facilitator could encourage local users in adaptations before the change was mutated out of recognition.

A second important responsibility for the facilitator in this model is staff development for local school personnel. In addition, developing local inter-innovator support systems is critical. How the facilitator might effectively go about these tasks is not explained. The Rand Study has identified elements critical to the process of change. How to facilitate the operationalization of the elements remains still to be learned.

Style. Style of the change agent is not addressed in these writings.

## Summary of Change Theory and Models Literature

In the examination of the change facilitation models it is useful to review some of their conceptual similarities and differences. Assuming that the innovation is "good" and thus will be adopted, the empirical-rational, social interaction, power-coercive, linkage model and R,D&D models view the target adopters as passively accepting persons.

In contrast to this position, the normative-re-educative and problem solver models, including OD and Goodlad's, see the individual taking an active part in the design of his own change, where this change is in response to a problem. In these models the change agent works collaboratively with the

client in problem solving. Problems are confronted openly and "aired" so that solutions may be found. These models especially focus on interpersonal relationships and on changing the values of the individual. The Rand Model provides for mutual adaptation which recognizes that the individual takes a part in modifying or structuring the change to suit his own situation. This might be thought of as a middle position relative to the passiveness or activeness of the individual participating in the design of his/her own change. In a different perspective, the CBAM acknowledges that when the decision has been made to change, individuals will be accepting or rejecting of the innovation to varying degrees and configurations of innovation use will differ. Therefore, facilitation activities should account for differences in individuals through the design of personalized interventions that support both the individual and the innovation in the process of change.

Whereas the normative-re-educative, problem-solver, OD and Goodlad models conceive of change as internally generated, other models accommodate externally developed or mandated changes. These models are empirical-rational, social interaction, power coercive, linkage models and R,D&D. Lying somewhere along the middle of the internally/externally produced change, the Rand Model emphatically supports mutual adaptation, thereby legitimizing changes made by users to externally adopted innovations. The CBAM does not address internal/external generation of the change. This model and its procedures enter the change effort at the point where a decision has been made to adopt, and is equally applicable whether the decision was made by external mandate or by internal choice.

The power-coercive and problem-solver models, including OD and Goodlad change strategies, emphasize the organization or group which is in contrast to the individual as the unit of consideration of the social interaction,

rational-empirical, normative-re-educative and CBAM models. That individual change is a long-term endeavor is explicitly addressed by the CBAM, coupled with the need to support each individual in a personalized way. The Rand Model and Goodlad also view change as time consuming and as a complex developmental process engaging individuals.

The models differ in terms of their consideration of change as a linear process, extending across various phases. Broad in scope are the R,D&D models which view change from the stage of invention through diffusion, adoption, implementation and installation, so that the change becomes a "non-innovation." Similarly, the OD, Goodlad, linkage and other problem solver models identify a problem and invent or adopt a solution, and view change as continuing through a period of being stabilized or implemented. These broad views are in contrast to the empirical-rational and social interaction models which are concerned with diffusion and adoption solely and power-coercive which focuses on the adoption decision only. Less broad than the former and less narrow than the latter in scope are the CBAM and Rand models which accommodate the change process from the adoption point through institutionalization.

Where the models lie on a continuum of the change phases provides clues to the role of the change facilitator. For the social interaction and empirical-rational models, the facilitator's job is to get the person to decide to use the innovation. Since these models view change as a "natural" process, there is a restricted role for the facilitator. The normative-re-educative and problem solver models also "restrict" the change facilitator in that the role here demands collaboratively developed intervention which is non-directive. The power-coercive models narrowly focus the change facilitator on getting the client group to make a decision to

change. The linking agent in the linkage models connects the potential user with a developed innovation which will respond to a needs assessment. Thus, it uses a problem solver approach; however, the linking agent/facilitator assists also in the implementation phase of the change process. Quite different is the highly creative, initiating role played by the agent in the R,D&D model, that of developing and diffusing the innovation, with less attention placed on the implementation phase.

Unlike the other models, the CBAM describes a change facilitator role that in operation uses diagnostic information that would help each person individually. It proposes that such information be obtained for each individual in the change effort and that interventions be supplied in a personalized way with the emphasis on facilitating, not forcing change.

Summary Commentary

Most educational innovations are difficult to evaluate and the determination of worth may take years (Deal & Baldridge, 1974). The educational innovation is usually assessed in terms of student outcomes, cognitive or affective. Change effectiveness or success is typically talked about in terms of innovation effectiveness -- or in terms of implementation success or stability of the change. Though the advising and proposing of change strategies is abundant in the literature there has been little experimental testing of change strategies -- or their effectiveness for implementation. But the focus of this paper is how to judge change facilitator effectiveness. This may be part of the answer to implementation success and thus innovation effectiveness, but it is a question separate and independent of the larger issue. We do not find change facilitator effectiveness addressed in the literature. Regardless of whether the innovation is "good" or "bad," or what change model is employed, there is a

need for facilitation, that is, aiding and supporting individuals to change, or to use the new practice. The questions we seek to answer in this review are what does the facilitator do to be gauged successful and how is success determined?

Characteristics of effective change facilitators. As already pointed out, the description of models by Havelock and Chin and Benne provide little specific detail about the behaviors to be used by facilitators of change although they speak of roles.

Rogers and Shoemaker (1971) indicate seven roles to be employed as a change agent introduces an innovation to clients. For example, suggestions are made regarding how the change agent could gain relative success in securing client adoption. However, this work, like much of the literature, is descriptive and does not provide illumination of how to operationalize the roles. In like vein, Herriott and Gross (1979) suggest ways that the findings of change studies may be used by administrators/change facilitators. These suggestions are for "making administrators aware and sensitive" (p. 40); no actions or behaviors are indicated. In the Firo study (Schutz, 1977), educational leadership is cited as one of six major areas of administrative skills in the literature, yet the area is not addressed in this study which is more concerned about knowledge and personality factors and does not inquire about behaviors. Deal and Baldridge (1974) bemoan the study of innovation which has not produced practical assistance. They offer guidelines for developing strategies for innovation success; how to operationalize the strategies is not included. In general, then, though writers speak about strategies to support change and roles of facilitators, they do not articulate behaviors attendant to the roles, nor how the effective change facilitator would be characterized.

Havelock (1973b) feels that an effective facilitator will have psychological wholeness. In his guide for the training of change agents Havelock (1973b) states that three elements for psychological wholeness are attitudes, knowledge and skills. A desired attitude would be one of concern for others and a belief in one's power to help others, coupled with a strong sense of self identity. Change agent knowledge should include a good knowledge of self, of others, of systems and subsystems being changed. Needed skills would range from working harmoniously and collaboratively with others to increasing others' awareness of their potential, to conveying one's skills, knowledge and values. These factors stand only as propositions, however, for Havelock states that they have no empirical validation.

When Griffin and Lieberman (1974) set out to investigate the relationship between the innovator, his behaviors, and the school as a social system, their search took them to the leadership literature, to the literature focusing specifically on school leadership, and to change facilitator literature. Looking at the characteristics of innovations the findings were scant. From a study by Carlson (1965) they found that opinion leaders are likely to be innovators and from Rogers (1965) that innovators are risk takers, venturesome, cosmopolitan and they do not stay within the norms of their social system.

In conclusion, there is little that may be gleaned from the change theory or models literature that illuminates the characteristics of effective facilitators.

Styles. As stated at the beginning of this review an important goal of the RIP program is to identify leadership factors that contribute to effective change in schools. Very little was found in the description of the various change models that detailed the style of facilitators that are associated with

successful facilitation. Terms such as flexible, aware and understanding are mentioned when discussing facilitators but this is usually in a very casual, general way. One exception is the CBAM research which does attend to styles in a descriptive way. It is not surprising to discover so little attention to facilitator behaviors/styles when the models attend more to the process of change than to the specific role of the change facilitator. Although the change literature associated with models of change says relatively little about behaviors and styles, the larger body of change literature which includes studies of the principal as facilitator of change does provide more information. The next section which looks at literature on the principal will present some of that information.

## III. LITERATURE ON THE SCHOOL PRINCIPAL

From the educational literature and from our prior work, it is strikingly apparent that the principal is commonly viewed as the key to bringing about educational change within schools. Because of the importance attached to the principal as change facilitator, it was deemed essential to review, at least briefly, the literature on the role and work of the principal.

The review begins with some general observations about the research on the principal. The focus then moves more specifically to principal research related to leadership and on the question of the importance of the principal's leadership role. The research related to the principal as change facilitator is examined and attention is directed to some of the current research on the principal in relation to school effectiveness and school improvement. The review is concluded with a look at some of the more recent research which suggests that the principal does not work alone to bring about change. Unlike the previous two sections this part of the review is not based on specific models and theories for they did not appear to exist in the literature reviews.

### General Observations About Research on the Principal

Over the years, one of the most frequently asked questions in research on the principal has been "what types of persons are principals?" Several recent studies, most of them sponsored by professional organizations for principals, offer descriptions of a variety of demographic characteristics of principals (Byrne, et al., 1978; Gorton & McIntyre, 1978; Pharis & Zakariya, 1979; Valentine, et al., 1981). Generalizations that can be drawn from these findings are that the principalship continues to be a white, male-dominated profession, with most individuals having completed formal study beyond the

master's degree. Most principals are between the ages of 45 and 54. A number of researchers have done small scale studies on the personality characteristics of principals and have mentioned qualities such as initiative, confidence, security in themselves as persons, a high tolerance for ambiguity, and analytical ability. While these studies infer the importance of various person-specific characteristics, to date there has been no systematic or large scale effort to study the principal-as-person (Greenfield, 1982).

Other studies have addressed the issue of what principals do and how they spend their time. The one common element that seems true of almost all principals whether elementary or high school or whether city or small town or suburban is that their workday is very busy and highly unpredictable (Huling, Hall & Hord, 1982). For example, Wolcott in his indepth investigation of one principal (1973), found that the "daily routine" of the principal is reflected in three major categories of activities: receiving requests and handling problems; orienting and greeting; and taking care of the building. In addition, he found that sixty-five percent of the principal's day was spent in face-to-face interaction with teachers, parents, central office staff and others. A later study involving more principals (Blumberg & Greenfield, 1980) paralleled Wolcott's observations.

Greenfield (1982) in a recent review of empirical research on principals makes a few general observations about the nature of the research to date on the principal. Research on the principal has tended not to be guided by major questions of policy or theory. Elementary principals have been studied more frequently than principals at other levels. More is known about what principals do than either why they behave in certain ways or what consequences follow from their behavior. Greenfield also notes that most studies appear to be guided by idealized conceptions of what principals <u>should</u> be like rather

than conceptions grounded in observation of actual behavior on the job.

In terms of methodologies used in past research on the principal, Rowan et al. (1982) recognize a number of shortcomings and recommended that future research meet at least three standards: (1) measures of principals' leadership behavior must be better grounded in the behavioral processes found in schools; (2) measures of school effectiveness must be made less unidimensional and more valid and reliable; and (3) research designs connecting leadership and effectiveness should become more sensitive to issues surrounding the demonstration of causality and the potential for interactions.

## Research on the Leadership Role of the Principal

One recurring theme in the principal literature is that the principal's primary responsibility should be that of instructional leader in the improvement of program and practice. A large array of studies convey the message that if educational programs for students are to improve, principals have to take the lead in providing teachers with the instructional leadership they need and are entitled to as they strive to improve tneir practice. Cotton and Savard (1980) reviewed twenty-seven documents concerned with the principal's role as instructional leader. Out of these reports they located only seven studies that they judged to be both relevant and valid investigations of instructional leadership. Six of the studies focused on elementary schools and the other on a secondary school. All seven studies found the principal's instructional leadership to have a significant influence on student achievement. The actual behaviors of the principals that contributed to effective instructional leadership were described by Cotton and Savard as follows:

(1) frequent observation and/or participation in classroom instruction;

(2) communicating clearly to staff what is expected of them as facilitators of the instructional program;

(3) making decisions about the instructional program;

(4) coordinating the instructional program;

(5) being actively involved in planning and evaluating the instructional program; and

(6) having and communicating high standards/expectations for the instructional program.

Persell and Cookson (1982) reviewed more than 75 research studies and reports to address the question of why some principals are more effective than others in running a good school. They identified nine recurrent behaviors that good principals display. These are:

"1. Demonstrating a commitment to academic goals

2. Creating a climate of high expectations

3. Functioning as an instructional leader

4. Being a forceful and dynamic leader

5. Consulting effectively with others

6. Creating order and discipline

7. Marshalling resources

8. Using time well

9. Evaluating results" (p. 22).

Almost as common in the literature as the theme of the importance of the principal's instructional leadership role is the acknowledgement that perhaps the greatest dilemma of the principalship is how one attends to the management aspects of the school and also concentrates on being the school's key instructional leader.

Fege (1980) takes the view that the success of the principal as an instructional leader is largely dependent on the ability of the principal to

distinguish between the routine of management and the goals of instructional leadership and improvement. An interesting finding by Cotton and Savard (1980) supports this view in that they found that principals who were effective instructional leaders were also effective administrator/managers.

Lipham (1981) and Corbett (1982) claim that leadership is the responsibility of the principal and cannot be left to others. However, other researchers have found instructional leadership is not a central focus of the real life practices of principals (Wolcott, 1973; Sproull, 1977, 1979; Patterson, 1978; and Martin, 1980). McNally (1974) noted that principals are not exercising to any considerable degree the instructional and program leadership function that is widely agreed to be their most important responsibility. Howell (1981) found that principals spend only approximately fourteen percent of their time on activities related to curriculum such as scheduling of students, coordinating course placement, supervision and observation. His conclusion is that today's principals are not and cannot be "instructional leader" in the conventional sense. Salley, et al. (1979) contend that unless environmental characteristics, particularly those related to the organization of the school and school system are changed, the principal rarely will be a change agent. This position was taken some years ago by Griffiths (1963) when he stated that elementary principals seldom initiate new ideas into the system. Tye (1972) believes that a key reason that principals do not assume the role of instructional leader is that they have been trained as administrators, not as leaders.

Other researchers, while acknowledging the difficulty of the principal's situation, believe the answer to successful leadership lies in the principal's ability to make the best possible use of the discretionary time and resources that are available. Sarason (1971) found that principals do have considerable

authority over how they use their time and resources, but differ in their knowledge and appreciation of its utility. He further contends that the degree of authority that principals have depends very heavily upon the uses that they are able and willing to make of decision-making opportunities that do exist. In similar vein, Isherwood (1973) concluded from his observation of fifteen secondary school principals that opportunities for the development and exercise of "informal authority" seem to exceed by far the formally designated powers and responsibilties of the principalship. Morris (1981) found from his research that there is much, rather than little, discretion available to the building administrator in education. He further concludes that there is much room at the school site level for flexibility and adaptability in the application of school system policy. Stewart (1982) claims that every job has demands and restraints but within these leaders have many choices they can make.

Commentary

Characteristics of effective change facilitators. While none of the literature searched in this section on the Leadership Role of the Principal specifically refer to the principal as a change facilitator, many of the characteristics of effective instructional leaders and good principals directly relate to the facilitation of change. From the twenty-seven documents reviewed by Cotton and Savard (1980) and the more than 75 research studies and reports reviewed and Persell and Cookson (1982) a number of behaviors and characteristics which relate to change facilitation were generated. All of Cotton and Savard's behaviors of the effective instructional leader have implications for the principal as change facilitator. These behaviors include being actively involved in all phases of the instructional program and having and communicating to staff high standards

and expectations related to the instructional program.

Persell and Cookson's nine recurrent behaviors that good principals display, while less concrete than those identified by Cotton and Savard, also relate to the change facilitating responsibilities of principals. These recurrent behaviors are commitment to academic goals, creating a climate of high expectations, functioning as an instructional leader, being a forceful and dynamic leader, consulting effectively with others, creating order and discipline, marshalling resources, using time well, and evaluating results.

Fege's idea that the success of the principal as an instructional leader is largely dependent on the ability of the principal to distinguish between the routine of management and the goals of instructional leadership and improvement can also be thought of as a characteristic of the effective change facilitator.

Style. There is no direct or indirect reference to style in any of this literature or research.

## Research on the Principal as a Change Facilitator

Another set of research studies have examined the principal's leadership role in relation to change. As early as 1951, in a review of research covering the previous twelve years, the principal was identified as a key influence on the adaptability of the school and process of change (Ross, 1951). Subsequent research has repeatedly singled out the unit manager as the key to educational change (Baldridge & Deal, 1975; Berman & McLaughlin, 1978; Brickell, 1961; Miles, 1971; Tye, 1972; Fege, 1980). Beyond these studies there are even more that support the importance of the principal in school improvement efforts (Hall, Rutherford & Griffin, 1982; Hord & Goldstein, 1982; Rutter, et al., 1979; Berman & McLaughlin, 1978; Venezky & Winfield, 1979; Hall, Hord & Griffin, 1980). In their synthesis of research on improving

schools, Lieberman and Miller (1981) reinforce these positions when they state "the principal is the critical person in making change happen" (p. 583).

Supporting these findings from research in the United States, Great Britain and Canada is an emerging body of research from other countries that focuses on the importance of the principal in school improvement efforts: in the Netherlands, van den Berg (1983) and Petri and Caluwe (1981); in Belgium, Van der Perre and Vandenberghe (1981); and in Australia, Matthews and Suda (1982).

While the message of these researchers is clearly that "principals have to take the lead in providing teachers with the instructional leadership they need," other researchers believe that principals have little effect on classroom practice. For example, Deal and Celotti (1977, 1980) have suggested that classroom instruction seems to be "virtually unaffected" by organizational and administrative factors. According to them, there is little evidence of administrative influence upon teaching and learning technology. Other researchers including McPartland and Karweit (1979) and Wolf (1979) have come to similar conclusions. This apparent discrepancy in findings and conclusions is addressed by Huling, Hall and Hord (1982) who cite the researchers who have found that instructional leadership is not a central focus of the principalship (Wolcott, 1973; McNally, 1974; Sproull, 1977, 1979; Peterson, 1978; Martin, 1980; Howell, 1981). "If it is true that many principals are not focusing on providing instructional leadership, then it is certainly understandable why some researchers have concluded that the principal does not affect classroom instruction" (p. 4).

Parish and Arends (1982) also contend that the principal is unimportant to program implementation. They concluded that principals were critical to program selection, adoption and training for the new program but that teachers

controlled implementation. Their conclusion, however, must be questioned as it was based on their study of five schools that discontinued innovation programs. Perhaps discontinuance occurred as a result of low principal involvement? Further, because the study does not include a description of their behaviors it is not known whether the principals even attempted to promote implementation or whether or not they were effective in their attempts if any were made.

A small body of research has begun to investigate what principals actually do in the process of facilitating change. Reinhard, et al. (1980) conducted a study funded by Teacher Corps to investigate behaviors of principals that support or hinder externally funded change projects. In doing this they divided the change process into four stages and looked at the principal's role in each stage. The four stages were 1) planning and initiation; 2) building a temporary operating system for the project; 3) developing and implementing; and 4) ending and institutionalizing. At each stage they found specific contributions by the principal which were crucial to project success.

Crucial at the first stage, planning and initiation, was the principal's agreement with the project, his input into the project proposal and communication of his support and enthusiasm to others. At the second stage, successful projects had principals who took an active, positive role in the project, "sold" the project to the superintendent and provided quickly all necessary material and personnel resources. During the stage of development and implementation successful principals remained interested and ever ready to help solve any problems that might arise. It was during this period that principals in successful projects began to turn over operation of the project to the other personnel. In the fourth stage, the critical behaviors for

successful principals were continuing commitment to the project and ability to provide the resources needed for project continuation.

Thomas (1978) studied principals from more than sixty schools with alternative school programs and focused on the role of school principals in managing diverse educational programs in their schools. Out of this study she identifies three patterns or classifications of principal behavior related to the facilitation of the alternative program: director, administrator and facilitator. Thomas describes these as follows:

> Director - this principal makes the decisions in his school, both procedural and substantive. He will take a great interest in things affecting the classroom, such as curriculum, teaching techniques, and staff development and training, as well as those things affecting the school as a whole, such as scheduling and budgeting. Teachers in a school with this type of principal contribute to decisions affecting the classroom, but the principal retains final decision-making authority.
>
> The Administrator - this principal tends to separate procedural decisions from substantive decisions. He will give teachers a large measure of autonomy in their own classroom--over what they teach and how they teach--but will tend to make the decisions in areas that affect the school as a whole. He will perceive his functions as distinct from those of his faculty, and will tend to identify with district management rather than with his staff.
>
> Facilitator - this principal perceives his role as one of support; his primary function will be to assist teachers in the performance of their duties. Unlike the administrator, however, this principal will be more concerned with process than procedures. Principals who exhibit this type of behavior often perceive themselves as colleagues of their faculty, and are most apt to involve their teachers in the decision-making process (p. 12-13).

Thomas concludes that although many factors affected implementation, the leadership of the principal appeared to be one of the most important factors in the success or demise of an alternative program. Schools under the leadership of a directive or facilitative principal had a greater degree of implementation of alternative programs than did schools headed by a administrator type principal. Futhermore, where strong leadership was lacking, separate-site alternatives tended to drift toward offering something

different from that originally intended and teachers within the program tended to follow disparate classroom practices.

Leithwood, et al. (1978) studied twenty-seven principals regarding their influence on the curriculum decisions made by teachers. From this study they discovered four discrete types of principal behavior. Fifty percent (N=13) of the principals were classified as administrative leaders. They are described as passive observers of the curriculum process who get involved directly only in case of an evident problem. With only one exception these principals were not concerned about their lack of influence on the curriculum. A second category of principals (N=2) was termed the interpersonal leader. These principals had direct involvement in the curriculum decisions and this involvement was almost exclusively through interpersonal relationships with teachers, most frequently on a one-to-one basis. Their interactions included observations of teachers with feedback and planning for the future, all for the purpose of getting teachers to make changes supported by the principal. Additionally, these principals used techniques and procedures to increase teachers' knowledge and skill in relation to the new program or methodology.

Three principals were classified as formal leaders. They relied on their legitimate authority to influence teachers by issuing direct instructions about curriculum decisions. These principals were rather specific about the objectives to be taught, materials to be used, evaluation procedures to be followed, and, in one case, teaching methods to be used.

A final classification was the eclectic leader and there were eight principals who behaved in this manner. These principals influenced curriculum decisions through a variety of strategies for supporting and directing teacher choice. Some of the strategies they employed were: involving teachers in decision-making, establishing priorities in consultation with staff and

arranging the organizational structures to accommodate these priorities, forming and supporting teacher planning groups, encouraging teacher sharing as a means of influencing, establishing a work environment that encouraged teacher experimentation and initiative, and providing support for teachers in many ways.

Out of their research in Dutch schools Kwantes and Rohde (1982) identified three change facilitating styles, task oriented, process oriented and OD oriented. They believe that when facilitating large scale innovations the change agent moves through these three facilitator styles beginning with a task orientation and arriving at the OD orientation after a few years into implementation.

An extensive study of the day-to-day interventions of nine elementary school principals involved in facilitating a specific curriculum innovation was conducted by researchers at the Texas Research and Development Center for Teacher Education (Hall et al., 1982). The principals were identified by district administrators as being one of the three hypothesized change facilitator styles based on concerns: initiators, managers or responders (Hall, Rutherford & Griffin, 1982). During the year-long data collection period more than 2,000 innovation-related interventions were documented and data were collected from teachers in the study using the three diagnostic dimensions of the Concerns-Based Adoption Model: Stages of Concern, Levels of Use and Innovation Configuration. The findings generated in the study focus on the primary questions:

1) What do principals do as change facilitators?

2) How do the concerns of principals affect their functioning as change facilitators?

3) What is the relationship between a principal's change facilitator style, the interventions he makes and the effects on teachers?

A key finding from the study was the significant correlation between the change facilitator style of the principal and the success of innovation implementation by teachers. This finding clearly indicates that the change facilitating style of the principal does influence teaching practice at the classroom level.

Commentary

Characteristics of effective change facilitators. The research on the principal as change facilitator does not include as much information about the characteristics of effective change facilitators as one would expect. Rather the majority of the literature addresses the question of how much influence the principal does or does not have on the school in the process of change. Reinhard, et al. (1980) studied the behaviors of principals that support or hinder externally funded change projects and found specific contributions by the principal which were crucial to project success. They divided the change process into four stages. At the planning and initiation stage, the principal's agreement with the project, his input into the project proposal and communication of his support and enthusiasm to others were found to be crucial. At the second stage, building a temporary operating system for the project, successful principals were those who took an active, positive role in the project, "sold" the project to top level administration, and quickly provided all necessary material and personnel resources. During the stage of development and implementation, it was crucial that principals remained interested and available to help solve problems. In the fourth stage, ending and institutionalizing, the critical behaviors for successful principals were continuing commitment to the project and ability to provide the resources needed for project continuation.

Other researchers discuss the variety of different ways principals behave

in the process of facilitating change and these observations seem to be alluding to the concept of change facilitator style.

Style. Thomas (1978), Leithwood, et al., (1978) and Hall et al., (1982) all address the concept of style although they do not all use the label of "style." Thomas talks about three patterns or classifications of principal behavior related to the facilitation of change and identifies three categories. The director makes both procedural and substantive decisions in his school and retains final decision-making authority. The administrator will make the decisions in the areas that effect the school as a whole but will give teachers a large area of autonomy in their own classroom. The facilitator perceives his role as one of support and views himself as a colleague of his faculty.

Leithwood et al., (1978) allude to the issue of style in relation to the influence of principals on the curriculum decisions made by teachers. Administrative leaders are passive observers of the curriculum process who get involved directly only when there is an evident problem. Interpersonal leaders had direct involvement almost exclusively through interpersonal relationships with teachers, most frequently on a one-to-one basis. Formal leaders relied on their legitimate authority to influence teachers by issuing direct instructions about curriculum decisions. The eclectic leaders influenced curriculum decisions through a variety of strategies for supporting and directing teacher choice.

Hall et al., (1982) use the specific term "change facilitator style" and categorize principals as initiators, managers or responders. Their styles appear to be similar to the ones proposed earlier by Thomas. Descriptions of each of these change facilitator styles are explained in the previous section and will be examined further in a later section on style.

## Research on Principal Effectiveness and School Improvement

Recently, much of the principal research and literature has been devoted to the primary question of "what makes a school effective" and the related questions of "what is an effective principal" and "what role does the principal play in school effectiveness and school improvement?"

In his study of schools for the urban poor, Edmonds (1979) identified several "indispensible" characteristics of effective schools. These included strong administrative leadership that places acquisition of basic skill as a highest priority and leadership that develops within the school a pervading belief that all students can and will attain expected levels of achievement.

Especially informative is a review prepared by Leithwood and Montgomery (1982) in which they identified two types of principals, "effective" and "typical". The review focuses on "dimensions of principal behavior" (p. 10) but the writers point out that they are referencing more than overt behaviors, they are including "inner states." "These inner states explain much overt activity and are, in turn, effected by the consequences of that activity" (p. 10). In their review of twenty-nine studies, Leithwood and Montgomery used a framework for planned change to investigate existing knowledge about "effective and ineffective principal behaviors." The quality of this review was enhanced by the extensiveness of the studies reviewed, by the use of screening criteria to assess the quality of the research, and the use of a conceptual basis for the analysis of the data. One aspect of their review considered the role of the principal in general while two other strands attended to research on school change and innovation implementation, and school effectiveness. Since the findings from the three strands were joined together in their review it was not possible to make an absolute distinction between effective change facilitator behavior and general principal behaviors

but the findings reported below seem especially relevant.

Leithwood and Montgomery (1982) found that the way in which principals address educational goals revealed some interesting characteristics of effective principals. They have clear goals, both long- and short-term, and their priority in these goals is the happiness and achievement of students. Effective principals will try to achieve a balance between task and interpersonal relationships but their first priority is on having a good school and this task orientation will take precedence over human relations if need be. Effective principals apply the task ethic to themselves also for they view themselves as instructional leaders responsible for the quality of their schools. High teacher expectations are communicated by effective principals and are coupled with the assumption that programs will always be changing to better serve learners. Further, effective principals seem to attend to all aspects of the educational endeavor. They set specific goals and hold teachers to them. They also have knowledge of the instructional practices of their teachers and in direct and indirect ways they see to it that the teachers have the knowledge and skills necessary for program improvement. Effective principals also take actions to secure the support from the community and higher administration necessary for the school improvement efforts they endorse.

According to Leithwood and Montgomery, "Rather than being pro-active as the effective principal appeared to be, the typical principal tended to be primarily responsive -- responsive to district demands and the demands from the many other sources of problems encountered everyday" (p. 27).

Hall, Hord and Griffin (1980) found that in schools where the principal appeared to be concerned about teachers' use of a specific innovation, the manner in which the teachers were using the innovation was more consistent

within those schools than it was in schools where principals appeared to be less engaged with the innovation and its use. Stallings and Mohlman (1981), who were also studying the implementation of a specific program (Effective Use of Time Program), found that in schools with more supportive principals, more teachers implemented the training program. In this study, principals were rated as supportive when they were perceived: (1) to go out of their way to help teachers; (2) to be constructive in their criticism and to explain reasons for suggesting change in behavior; (3) to share new ideas; (4) to set good examples by being on time and staying late; (5) to be well prepared; and (6) to care for the personal welfare of the teachers.

As one part of a major study of Dissemination Efforts Supporting School Improvement (DESSI) (Crandall, et al., 1982), the role of the principal was studied. Bauchner and Loucks (1982) reported on the influence of the principal on change in the school and on the individual teacher. At the school level they found that if the principal has a management style that includes being responsive to teachers and giving feedback to them, the school is more likely to make greater change and to institutionalize the new practice. At the individual level, specific practice-related assistance by the principal had positive effects. Of the many variables investigated only one was found that seemed to influence school and individual outcomes, that was principal commitment to the improvement effort.

Little (1981) suggests that in order to operate as effective facilitators, principals need a certain amount of what might be called organizational potency. She describes a number of ways that principals can facilitate the collegiality and instructional success of teachers. Principals can support certain norms by announcing that they hold particular expectations of teachers, e.g., at the faculty meetings. Moreover, those expectations can

be expressed as practices that teachers can follow for instance, participating in weekly inservice meetings. Principals can also act in such a way that their own behavior provides a model of the norms they support. Principals fortify or weaken norms by the way they sanction teachers, using internal resources such as schedules or materials budgets, access to outside resources by decisions on special provisions or release time, or informal recognition of a job well done. Finally, principals protect teachers who are accomplishing what they want them to be doing. They may do this by acting as an effective "buffer" between the district's needs and the needs of the teachers.

Moody and Amos (1975) found from their study of elementary schools that pupil achievement is maximized when organizational arrangements make it possible for teachers to use their talents to the maximum and the key to these kinds of arrangements is the commitment and involvement of the principal.

Commentary

Characteristics of effective change facilitators. In this body of literature a number of researchers (Edmonds, 1979; Hall, Hord & Griffin, 1980; Moody & Amos, 1975) discuss the importance of the involvement and commitment of the principal to program success. Other researchers describe the behaviors of effective principals and among these behaviors are many that have direct implications for the facilitation of change. For example, Leithwood and Montgomery (1982) relate that effective principals have clear goals, both long- and short-term and try to achieve a balance between task and interpersonal relationships. They also communicate high teacher expectations, hold teachers accountable, and provide teachers with support for program improvement. These behaviors although general, have a clear relationship to effective change facilitation.

Stallings and Mohlman (1981) and Little (1981) both discuss the importance of supportive principals and describe ways they can facilitate the instructional success of teachers. Stallings and Mohlman rated principals as supportive when they were perceived

1. to go out of their way to help teachers;
2. to be constructive in their criticism and to explain reasons for suggesting change in behavior;
3. to share new ideas;
4. to set good examples by being on time and staying late;
5. to be well prepared; and
6. to care for the personal welfare of the teachers.

Little (1981) found that principals who were effective facilitators were those who

1. announce particular expectations for teachers
2. model the norms they support
3. sanction teachers who perform well by using and allocating available resources
4. protect teachers from outside interference by acting as a "buffer" between the district needs and the needs of teachers.

Again, it is clear that many of the behaviors outlined in these two studies also apply to the role of the effective change facilitator.

Style. Only two studies in this sub-section on principal effectiveness and school improvement make any reference to style and neither of these offer a concrete definition of style. Leithwood and Montgomery (1982) identified two types of principals, "effective" and "typical." They do not call these classifications "style" but point out that they are referencing more than overt behaviors and are including "inner states." These dimensions have similarities to what other researchers refer to as style. Bauchner and Loucks (1982) studied the influence of the principal on change in the school and on

the individual teacher. They did not define style but found that if the principal has a management style that includes being responsive to teachers and giving feedback to them, the school is more likely to make greater change and to institutionalize the new practice.

## Summary of Literature on the School Principal

There is much more research that concludes that the principal is the key to educational change than there is that identifies what the principal does during the act of facilitating change. However, a small number of researchers have addressed the questions of what do principals who are effective change facilitators actually do and what are their characteristics.

Characteristics of effective change facilitators. Recent studies by Reinhard et al., Leithwood and Montgomery, Stallings and Mohlman and Little all make contributions to understanding the actions of principals as effective change facilitators. Stallings and Mohlman (1981) found that principals who were effective in program implementation were perceived 1) to go out of their way to help teachers; 2) to be constructive in their criticism and to explain reasons for suggesting change in behavior; 3) to share new ideas; 4) to set good examples by being on time and staying late; 5) to be well prepared; and 6) to care for the personal welfare of the teachers. Little (1981) contends that in order to operate as effective facilitators, principals need to promote the collegiality and instructional success of teachers. They can do this through announcing particular expectations, modeling the norms they expect, sanctioning teachers who perform well, and protecting teachers from outside influences. Reinhard et al. (1980) viewed the change process in four stages and in each stage, principals who were effective facilitators of externally funded change projects played an active and positive role. The four stages

were 1) planning and initiation; 2) building a temporary operating system for the project; 3) developing and implementing; and 4) ending and institutionalizing.

According to Leithwood and Montgomery (1982) effective principals try to achieve a balance between task and interpersonal relationships but their first priority is on having a good school and thus the task orientation will take precedence if need be. They communicate high expectations for teachers and set specific goals and hold teachers to them. They also have knowledge of the instructional practices of their teachers and see to it that teachers have the knowledge and skills necessary for program improvement. Effective principals also take actions to secure the support from the community and higher administration necessary for the school improvement efforts they endorse.

These studies have identified some of the principal behaviors that appear to be important; additional systematic studies of the day-to-day behaviors of principals will confirm and further develop the list. What is missing at this time is an overall framework and theory that views the gestalt of the various behaviors and motivations of the principal as they function as change facilitators. Development of a framework and definition of change facilitator style is a critical next step.

Change facilitator style. With the exception of the recent work at the R&D Center for Teacher Education, the term or label of change facilitator style is never dealt with directly in the principal research literature. Some researchers discuss principal style, management style and leadership style in their findings. Often the term style is used, but not defined. Bauchner and Loucks (1982) reported on the influence of the principal on change in the school and on the individual teacher. At the school level they found that if the principal has a "management style" that includes being responsive to

teachers and giving feedback to them and reflects a commitment to improvement, the school is more likely to make greater change and to institutionalize the new practice.

In a study of twenty-seven principals, Leithwood et al. (1978) discovered four discrete "types" of principal behaviors. These behaviors and the category labels assigned to them seem to allude to the concept of style. In this study, principals were classified in one of the following four categories: administrative leaders, interpersonal leaders, formal leaders, and eclectic leaders. In later work Leithwood and Montgomery (1982) identified two "types" of principals, "effective" and "typical" and focused on "dimensions of principal behavior." In this work the writers point out that they are referencing more than overt behaviors, and are including "inner states." "These inner states explain much overt activity and are, in turn, effected by the consequences of that activity" (p. 10). This sounds very much like "style" as defined by the CBAM researchers later in this document.

Thomas identifies three "patterns" or classifications of principal behavior related to the facilitation of specific programs: director, administrator and facilitator. It is in this piece of research that the concept of change facilitator style first emerges. The concept of style has been a topic of discussion in the leadership literature for years and has been very frequently considered in research, but this work by Thomas was one of the first major efforts to classify the behaviors of leaders functioning as change facilitators.

In the next section all the information on style that has been presented in the first three sections will be synthesized and discussed.

## IV. SYNTHESIS AND DISCUSSION

This section will draw together the information from the three literature components presented in the previous sections. In so doing the primary intent is to determine how the literature as a whole informs the two basic questions for this document: What are the characteristics associated with effective change facilitators? What is style and of what value is it in understanding change facilitators?

This document evolved from a purposeful search for answers to the questions above. Before beginning this review it was naively assumed that the literature search could be accomplished as a unitary endeavor. Once the review was initiated this illusion was quickly dispelled. Being more familiar with the change literature and principal literature than the leadership literature, the reviewers decided to begin with the latter, assuming it would add a new but complementary dimension to the literature on change. Not so. It was quickly discovered that the literature on leadership was quite distinct from the other two sets of literature. This became vividly evident with a quick review of the more than 5,000 references compiled by Bass (1981) in his review of the literature on theory and research in leadership. Among those 5,000 plus references most of the writers who have contributed to the change literature were not included. Conspicuous by their absence in this review were names such as Rogers, Shoemaker, Havelock, Fullan, Goodlad, Sarason, Berman, McLaughlin, Brookover, Tye, Deal, Hall, Lortie, Rutter, Schmuck, Edmonds, Venezky, Baldridge, Morris, K. Louis, and Emrick and the list could go on and on. On the positive side researchers such as Miles, Benne, Bennis, Chin and Gross were cited. Not only was there little representation of the change literature there was hardly more attention given to the broader field

of educational administration and the principal, a void acknowledged in the leadership literature (Hunt & Larson, 1977).

The other side of the coin is that change literature and principal literature give very limited attention to the leadership literature. Names such as Bass, Stogdill, Vroom, Yetton, Yukl, Tannenbaum, Bowers, Fiedler, J.G. Hunt, Schriesheim, Kerr and the myriad of others who have made significant contributions to the leadership literature are rarely, if ever, cited in the change literature.

There is more overlapping of the change literature and principal literature than there is overlapping of either body with the leadership literature. Given the fact that there are three rather distinct bodies of literature rather than one set of interrelated literature, it was decided to conduct parallel reviews and to draw them together in a synthesis section.

Now to the two questions central to this document.

## Factors Associated with Effective Change Facilitators

Literature from the leadership field is dominated by the belief that leader effectiveness is determined by the situation, that different leader behaviors will be effective in different situations. As examples, in Fiedler's contingency model leader influence and control is the important situational variable and in Path-Goal theory the demands and satisfaction in the tasks subordinates are to perform constitute the significant situational variable. By contrast in the change facilitator literature situational variables receive much less direct attention. There seems to be an assumption that the situation does not influence the leader or facilitator to the same degree as proposed in the leadership literature. It seems that most leadership models view the situation as influencing the leader to a considerable degree, while the change models view the facilitator as

influencing the situation. It may be that both positions are correct. A leader functioning under typical day-by-day conditions in an organization may be more influenced by the situation while a leader who guides changing conditions may have to control the situation. At present, there is insufficient evidence upon which to draw conclusions about this possibility.

Viewed in another way, the leadership literature tends to place primary focus on the behavior of the leader, the situation in which the leader performs and the influence each has on the other. The literature on change certainly does not ignore leader behavior nor the situation but it empnasizes change as a process or strategy and what is required to make the process succeed. Within the principal literature primary attention is given to the behaviors that mark successful leaders/facilitators. Interaction between behaviors and situation (as in the leadership literature) and leadership as a process (as in the change literature) are not emphasized.

Characteristics associated with effective change facilitators are not identified in a specific way in the leadership literature. This is due in large part to the fact that this body of literature does not often or consistently distinguish between leadership during times of change and times of stability within the organization. Nevertheless, some guidelines for effective facilitators can be deduced from the literature. In keeping with the nature of the literature the guidelines reflect the emphasis on interaction between behavior and situation.

According to Fiedler if leader control in the setting where change is to occur is either high or low then the facilitator should be task motivated. That is, the facilitator would assign primary importance to accomplishing the intended change. If, however, leader control in the setting is moderate then the facilitator should focus on the people involved in the change.

Hersey and Blanchard (1977) apply the concepts of task and relationship in a way that differs from Fiedler. Follower maturity for change, not leader control, determine how these leader concepts would be applied. The lower the maturity level the more task oriented the facilitator should be. As the maturity of the group increases, relationship oriented facilitator behavior is supposedly more effective.

Similar to the concepts of task and relationship behaviors are the concepts of initiating structure and consideration. A major difference is that Fiedler sees task and relationship behavior operating on a continuum, to be high on one you must be low on the other. Initiating structure and consideration, as conceived in the Ohio State leadership studies, are not on a continuum. A leader may be high or low on both behaviors at the same time. In the Managerial Grid offered by Blake and Mouton (1964) the ideal facilitator behavior is to be high on both consideration and initiating structure.

Application of these concepts in Path-Goal theory is somewhat more complex, for the facilitator must adjust his behaviors to the nature of the change and the people involved. If the change introduces non-routine task demands on intended users or if it is dissatisfying to them initiating structure is proposed as the best facilitator behavior when implementation of the change is the goal. Consideration can modify user dissatisfaction. When the change requires collaboration and that is not typical for the users, initiating structure will relate positively to follower satisfaction and performance while consideration will build esprit de corps. Also, according to path-goal theory a facilitator can enhance the change process by establishing rewards for implementation and make it clear how those rewards can be obtained.

From the Vroom-Yetton model the facilitator is advised that actions taken to promote acceptance of decisions depends on the situation but there is strong emphasis on at least consulting with followers if not engaging them collaboratively.

Finally, attribution theory advises facilitators that success does not come solely from what they do but from what intended users expect them to do and perceive they are doing. Thus, a successful facilitator must be aware of user perceptions of his efforts.

Meanwhile the change literature focuses on the processes involved in change and does not address leader characteristics, as specifically as the leadership literature does. Therefore, to identify the characteristics of effective change facilitators in many models it is necessary to infer the proposed role of the facilitator in the process.

A facilitator in the empirical-rational model must know the new program or materials and be able to convince and train others to use them. Knowledge of the proposed change and skill in persuasive communication are needed attributes of the successful facilitator. A relationship orientation toward intended users would seem to be necessary but the facilitator would also have to keep the users attentive to the task at hand.

In the normative-re-educative model consideration or a relationship mode would seem to be essential if the facilitator is to work collaboratively with clients toward goals of changing values and developing personal problem solving skills. On the other hand facilitators operating in the power-coercive model must be task motivated and skillful in manipulating situations to obtain the power needed to attain their goals.

Havelock's social interaction and RD and D models do not have facilitators who interact directly and intensively with clients in the

implementation of change. Rather the facilitator is more of a developer, researcher or "salesman" for the innovation. Consideration must be the dominant motivation of the facilitator working with the problem solver model for he must work in a collaborative, consultative way with clients. Requirements for OD facilitators are similar to those employing the problem solver model. Developing effective human relations is a priority.

A facilitator adhering to the CBAM model would give priority to people over innovation as considerable attention is given to the concerns of individuals. What the facilitator must do to accommodate concerns depends on the particular concerns of the client group. According to the Rand Study an effective change facilitator will assist clients to adapt change to their needs and will provide the staff development clients need to use the innovation. Facilitator characteristics needed to be successful in their tasks are not mentioned.

In summary, the change literature presents many tasks that facilitators should perform but little is said about the specific characteristics that change facilitators should have to be successful in the role. Overall behaviors associated with effective change facilitators are addressed in the discussions of styles below.

From the literature on the principal there are some specific behaviors that purportedly are associated with effective change facilitation. In addition, other characteristics of effective change facilitators can be derived from the actions deemed important for general principal leadership.

Characteristics of effective change facilitators drawn from the principal literature are:

1. Have clear goals and a commitment to them.
2. Be enthusiastic in support of the innovation.

3. Make clear to staff what is expected of them.

4. Have high expectations and communicate those to teachers.

5. Be actively involved in planning, coordinating and evaluating the implementation effort.

6. Be supportive and helpful to teachers.

7. Provide the resources, including time, needed by teachers to implement change.

8. Be a model of what is expected of teachers.

9. Care for the personal welfare of teachers.

10. Reward teachers who perform well in the change process.

From the list it is apparent that a principal who is to be an effective change facilitator must both initiate structure and be considerate, to use the language of the leadership literature. Perhaps not clear in the list above but clearly stated in the literature is that the initiation of structure is the first priority. To be considerate toward users in the absence of clear goals, specific expectations and a "push" for attainment of both is not likely to result in successful implementation of change.

## Style and Change Facilitator Peformance

### What Is It

To know what style is is at the same time both simple and complex. Frequently in the leadership literature (somewhat less frequent in the change and principal literature) leader style is mentioned so it is not hard to find information on style. In his review of the leadership literature, Bass (1981) cites twenty-six dimensions for describing how leaders differ in their style. In this leadership literature several paired descriptors are commonly used to depict leader style. These include autocratic/democratic, task oriented/relationship oriented, participative/directive, and consideration/

initiating structure.

Thus, descriptions of style are readily available. The complexity in understanding style is based on the fact that style is only described, never defined. Supplying only the characteristics of style is akin to describing a vehicle as having four wheels, a seat, a steering wheel, and motor. These descriptors in no way define the vehicle. It could be anything from an armored military vehicle to a riding lawn mower or go-cart. To fully understand style, more than a set of behaviors or descriptors is needed.

Fiedler (1967) offers the only attempt in the leadership literature to define style. He sees style as the motivational structure for the leadership behaviors a leader exhibits. According to Fiedler, motivational structure and behaviors operate independently for he believes that style remains relatively constant while leader behaviors change according to the situation. Tannenbaum and Schmidt (1959) do not define style but like Fiedler they contend that motivation is influential in the decisions a leader makes about how to lead.

Apart from the authorities cited above other writers in the leadership literature focus on the behaviors or actions of the leader (Hersey & Blanchard, 1977; Jago, Vroom & Yetton, 1973; Bass, et al., 1975). The danger of describing styles in terms of behaviors without attention to purpose or motivation is indicated by McCall and Lombardo (1978). They point out "a leadership researcher may see delegation activity as a leadership style and correlate it with group productivity, while in many cases, delegation is a political tool used by leaders to create a desirable situation" (p. 158). Without a clear definition of style the matter of understanding style and its true relationship to leader effectiveness is likely to remain clouded.

Styles in Relation to Change Facilitator Performance

Results from the leadership literature are a bit difficult to apply to change facilitator performance for two reasons. First, most of the literature addresses general leadership and not leadership for change. Secondly, the emphasis that is given to the influence of the situation on successful leader style confounds attempts to establish a relation between style and successful performance.

From the leadership literature one study is especially relevant to an understanding of change facilitator style and performance for it focused specifically on leaders who were managing change. Peters (1980) studied a number of companies that efficiently and effectively made major change in direction. Brute persistence seemed to be the key ingredient for success in the chief executive officers Peters studied. But this attribute was accompanied consistently by several other attributes: (1) consistency in support of a theme, (2) accomplishing major shifts in the focus of organizational attention, (3) conscious use of symbolic behavior, (4) strong encouragement of experimentation, (5) extensive contact with down-the-line managers, (6) large grants of autonomy down the line and (7) focus on the enhancement of one or two basic organizational skills. According to Peters "The similarities of style among the leaders of our top performing companies has little to do with the entrepreneurial versus bureaucratic behavior, or theory x versus theory y ideology. Rather, they center on a common pattern of brute persistence" (p.16).

Although the leadership literature that focuses specifically on change facilitation is limited, several conclusions can be drawn and applied to change facilitators. An effective leader must see to it that the goals to which he is committed have been clearly identified to the organization.

Furthermore, the leader must assure that conditions are such within the organization that subordinates can and do progress steadily toward attainment of these goals. What manner of behavior, i.e. directive vs participative, task oriented vs. relationship oriented, etc., the leader employs may be, or should be, influenced by the situation but the above dimensions must be present.

In the change facilitator literature, style was discussed in only one instance and perhaps intimated in a couple of others. Hall et al. (1982) present three change facilitator styles drawn from research on elementary principals. Responders allow teachers and others to take the lead in the school while they focus on administrative duties. Initiators seize the lead and make things happen while managers are more eclectic. At times they act like responders and other times like initiators. Initial research findings indicate that initiators and managers are more successful than responders in accomplishing the implementation of change.

In the literature on the school principal Thomas (1978) also addressed change facilitator style. This study contains pertinent information about patterns of principal behavior that have obvious relevance for change facilitator style.

In the study with specific implications for change facilitators Thomas (1978) identified three patterns or classifications of principal behavior related to the facilitation of alternative programs. Directors were the principal decision makers in their schools and were very much involved in all aspects of the schools. Administrators gave their teachers much autonomy and identified with district management rather than school staff. Facilitators perceived themselves as categories of the faculty with a role of supporting teachers. Thomas concluded that directive or facilitative principals accomplished a greater degree of implementation of the alternative programs

than did administrator principals.

Findings from the Thomas study and the CBAM study (Hall et al., 1982) study are remarkably consistent. Both studied principals as change facilitators, both identified three types or styles of principal behavior and the three described in each study are quite similar. The Thomas types and CBAM styles that seem to match are, respectively, director-initiator, administrator-responder and facilitator-manager. Both studies found the director-initiator and facilitator-manager more successful in facilitating change.

From a review of the literature on principal effectiveness in school improvement Leithwood and Montgomery (1982) classified principals as effective and typical. While they specify many behaviors that are associated with each type they sum them up by saying that effective principals tend to be pro-active while typical principals tend to be primarily responsive, meaning responsive to the multiple daily problems. The effective principal seems to be very similar to Thomas's director and CBAM's initiator while the typical principal is more like the administrator and responder.

In another study Leithwood, et al. (1978), investigated the influence of principals on teachers' curriculum decisions and discovered four types of principal leader behaviors. Administrative leaders were passive observer, interpersonal leaders had direct involvement through interpersonal relationships with teachers, formal leaders relied on legitimate authority to issue direct instructions and eclectic leaders used a variety of strategies. No attempt was made to relate these leader types to principal effectiveness in influencing teacher made curriculum decisions.

In addition to the studies above that attend to principal style or pattern of performance, a number of studies offer listings of individual behaviors associated with successful principals. Success is discussed in

terms of general leadership, instructional leadership or as a change facilitator. A summary of these behaviors is presented in Table 4. Taken as a whole these behaviors are much more like the director (Thomas), initiator (Hall et al.) or effective (Leithwood & Montgomery) principal than the administrator (Thomas), responder (Hall et al.) and typical (Leithwood & Montgomery) principal.

From the three bodies of literature that were searched some defensible conclusions about style can be drawn, regardless of the stance taken with regard to the influence of the situation. The concept of style does seem to exist in reality. So far it has only been described and not yet defined. Descriptions of style are typically in terms of behaviors although Fiedler stresses motivation, Leithwood and Montgomery speak of the influence of inner states on overt behavior, and Tannenbaum and Schmidt maintain that certain forces or motivations are influential in manager behavior. If style is defined only as behaviors then apparently leaders can change their style (Thomas, 1978), but there is no assurance that such a change will result in greater leader effectiveness (Jago, nd).

Whether they be called styles, patterns of behavior or types of behavior there are some common dimensions that characterize effective change facilitators. They have clear and positive goals, they expect something to happen and they arrange the conditions so that it will happen. The facilitator may enlist others to assist and even give them much autonomy but they are expected to vigorously pursue the goals and expectations set forth by the facilitator. The effective facilitator may delegate authority to others but will not abdicate ultimate responsibility for the change process. The concerns and the welfare of the clients involved in the change are not ignored. Facilitators may attend to them directly or through those who assist him. While the welfare of clients is an important priority for the effective

Table 4

Behaviors of Principals that Relate to

Successful Change Facilitation

They have a clear vision of short and long-range goals for the school.

They work intensely with brute persistence, to attain their vision.

Achievement and happiness of students is their first priority.

They have high expectations for students, teachers and themselves.

They are actively involved in decision-making relative to instructional and administrative affairs.

They attend to instructional objectives as well as instructional strategies and planning.

They collect information that keeps them well informed about the performance of their teachers.

They will involve teachers in decision-making but within the framework of established goals and expectations.

Directly or indirectly they provide for development of teachers' knowledge and skills.

They protect the school and faculty from unnecessary intrusions.

They will seek policy changes at the district level for benefit of the school.

They give enthusiastic support to the change.

They provide for the personal welfare of teachers.

They model the norms they want teachers to support.

They aggressively seek support for resources within and outside the school to foster goals of the school.

facilitator it is always considered in relation to the goals and expectations of the change process and does not become the sole priority.

To understand and recognize an effective change facilitator it is necessary to look at motivation for behavior as well as at the behavior. (This is discussed more in the next section) An effective facilitator is one who is motivated to bring about improvement in the organization and behaves in a manner that will accomplish that improvement.

## V. CHANGE FACILITATOR STYLE: A DEFINITION AND ISSUES FOR THE FUTURE

A central theme to this review and analysis has been a determination of what is meant by the term "style." It is concluded that past research and theory have not distinguished in consistent or operational ways between particular behaviors of the leader and any overarching concept of style. Yet, implicitly there appear to be some meaningful distinctions and hypothesized links between leaders' behaviors and their style.

In response to this conclusion, a formal definition of style and a framework for analyzing the major components of style are proposed in this section. This definition is developed and related to the change facilitator role; however, if it proves useful in this domain, it may have wider utility for the educational administration and leadership fields.

As has been discussed in this report, style is typically described and assessed on the basis of behaviors. Certainly it makes sense to focus on behaviors as one means of determining facilitator style, but it is not sufficient to define style solely in terms of individual actions. When facilitating change, a facilitator will likely use a range of behaviors from rule making to shared problem solving and from complimenting to reprimanding. It is the totality of these behaviors that must be considered when describing style.

There are several additional factors that should be included in defining style. These factors include the facilitator's attitude, motivations and feelings of adequacy for facilitating, knowledge of the task, beliefs about the role and philosophy of change. These factors may represent the "inner states" that Leithwood and Montgomery (1982) referred to.

The "way" the facilitator delivers the particular behaviors must also be examined. The same action can be delivered with quite different affect and emphasis. Interestingly, often this tonal aspect is what is referred to as style.

The importance of these factors in understanding change facilitator behaviors and ultimately change facilitating style, can be illustrated with a simple example. Two facilitators (in two separate schools) engage a teacher in virtually identical conversations by asking how their use of the new reading program is going.

> Facilitator A feels that the teachers in his school are competent professionals who know as much or more about the reading program than he does. He also feels that if they need help they will ask. Thus, his question to the teacher is perfunctory and the main purpose of his question is to be visible, appear supportive and available should the teacher have any questions.
>
> Facilitator B, on the other hand, knows the reading program is fairly complex and places quite a few demands on her teachers in terms of what they should be doing in using the program. This facilitator believes that it is her responsibility to maintain a keen knowledge of teachers practices and concerns and to ensure that they are using the new program effectively. Her question to the teacher is asked expressly for the purpose of gaining information for monitoring teacher performance and for establishing an opportunity to assist the teacher in use of the program.

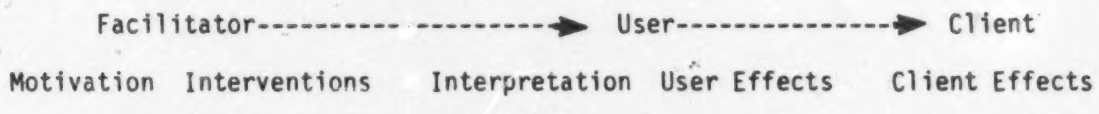
Here are two identical intervention behaviors, the principal inquires of a teacher, "How's it going?". But the purpose of the behavior, the meaning of the action and its relationship to other behaviors is quite different for each of the two cases. The tone of the conversation would also be different in some readily observable ways. For example Facilitator A would likely appear very conversational and chatty while Facilitator B would appear much more businesslike and focus more directly and continuously on the teachers' use of the reading program.

Consideration of the combination of dimensions and factors that go beyond a description of behavior has led us toward a definition that views style as a

gestalt. Reader's Digest Encyclopedia Dictionary (1969) defines gestalt as a "functional configuration or synthesis of separate elements of emotions, experience, etc., that constitutes more than the mechanical sum of the parts." Given this definition it seems even more reasonable to define Change Facilitator Style as the gestalt of all behaviors a facilitator uses over time to influence a change effort coupled with the motivation for and tone of those behaviors.

## Change Facilitation Process

Before presenting and discussing the parts or factors that contribute to the gestalt of style it is useful to consider first the process of change facilitation. This process is depicted in the model below.




In the most linear and idealized interpretation of this model the facilitator with certain motivations makes certain interventions directed at the user. These interventions are interpreted by the user who makes certain changes in his/her use of the innovation, with the effect being improved use of the innovation. Of course, this process does not always work in an idealized manner and use is not always influenced or it may even be negatively influenced.

## Style

The model displayed above depicts the entire change facilitation process but the two parts of the process that are directly related to the concept of

style are facilitator motivation and interventions. It is the combination of factors within these two components of the model that constitute style. In line with earlier theory and research with the CBAM model it is proposed that motivation is composed of "knowledge" and "concerns." Interventions are composed of behaviors that are taken to influence use of the innovation and the "tone" of the delivery of the behaviors.

Knowlege factors that may influence the facilitator's motivation are knowledge of the innovation, of teacher expectations, of community expectations, of superordinate expectations, of his/her own strengths and weaknesses, etc. Also influencing the facilitator will be his/her concerns. These may be concerns ranging over a wide array of issues from concerns about student welfare, job security, parent reactions, to concerns about time and resources for accomplishing the teaching task. Together the knowledge and concerns of the facilitator form the basis for the motivation to intervene.

Interventions are a combination of the behaviors a facilitator takes to influence use of the innovation and the tone of those behaviors. The understanding of tone that we have drawn from our research experience and are conveying in the definition of style might be likened to the meaning of tone in "tone of voice". When one speaks it is not only the words that carry a message but the tone with which they are delivered. In fact, the tone of voice may carry a more powerful message than the words. So it is with interventions, the tone of a facilitators actions (i.e. half listening versus listening enthusiastically to a teacher describing a classroom activity) colors the behavior and develops the intervention's fuller meaning. One hypothesis is that clients are in many ways more sensitive to variations in tone and more influenced by the tone of an intervention than they are by the specifics of the action itself. Thus, further thought needs to be given to

what is meant by tone and how to measure it.

Style is the gestalt of knowledge, concerns, behaviors, and tone as reflected in the motivation and interventions of the facilitator. This definition of style is depicted below.

As indicated in the model of the change facilitation process, change facilitator style does not exist in isolation but in relationship to others. When users receive an intervention they initially interpret the intervention in terms of their own knowledge and concerns. Based on their interpretation the users continue to use the innovation in the same way, make adjustments in their use and/or make a responding intervention. Whatever adjustments the user makes in use of the innovation represents the effects of the intervention. These effects will be reflected in the performance and the concerns of the user. User changes would then influence client outcomes such as achievement and attitude. The complete model of change facilitation and its defining terms are shown below.

Facilitator----------▶ User----------▶ Client

| Motivation | Interventions | Interpretation | User Effects | Client Effects |
|---|---|---|---|---|
| Knowledge / Concerns | Behaviors / Tone | Knowledge / Concerns | Performance / Concerns | Achievement / Attitude etc. |
| Style | | | | |

If the definition of style proposed here were to bear the test of time and can effectively be used to explore the role and influence of change facilitators then it might be possible to more closely examine many of the hypotheses and theories that have been summarized in this document. Much has been written about the effective leader, still little is known about their day to day behaviors and how these combine to represent style. There is even less data about procedures for developing more effective leaders. The concept of change facilitator style is offered as a way to focus data collection and as a heuristic for interpreting and applying the findings of research. The goal is for increased understanding of how to more effectively facilitate implementation efforts.

It might be noted that the situation is not included in the proposed definition of style. Situation was not included for two reasons. First, there does not exist a way for specifying and assessing the phenomena called situation so that it can be correlated with influence on change facilitator behavior. Second, and more important, there is disagreement in the literature regarding the importance of situation in determining style.

The bulk of the leadership literature maintains that the situation determines which style is best. For example, the contingency theory as proposed by Fiedler (1978) maintains that it is better, and more likely, that a leader will change his style to fit the situation than vice-versa. But there are exceptions to that position. Blake and Mouton (1982) make a strong case for one most effective style versus the effectiveness of situationally mediated styles. They feel the one best leader style is concern for task and concern for people. Based on a study of a number of companies that efficiently and effectively made changes, Peters (1980) also seems to reject the situational influence of leadership. He states that "managerial

gimmickrey rarely makes or saves the day, nor will getting the theory X-ers and the theory y-ers sorted out and assigned to the right slots assure successful corporate performance," (p. 16).

Except for the Thomas study (1978) the change facilitator and principal literature do not discuss the possibility that leader performance is influenced by the situation. By not mentioning the situation as a variable there is a clear impression that it was not felt to significantly influence leader behavior. However, in her study of principals implementing alternative programs in their schools, Thomas found that principals with certain dominant behavior modes had more difficulty in certain situations than others. For example, directive principals could not manage a multi-program building as well as a single program school.

Within the leadership literature Bass (1981) speaks also to the influence on the leader of a changing situation. He points out that "Considerable evidence is available concerning the tendency of the same leaders to be effective given the same task requirements with new groups" (p. 480). However, Bass postulates that when task requirements are not the same in the new situation, use of older leader behaviors will result in negative effects. He admits this postulation has seldom been demonstrated experimentally, although it is often seen. There seems not to be much research evidence that proves the influential power of the situation over leader behaviors. But even if we accept at face value the premise that situations determine which leader behaviors will be effective, little is known about the situation and its influence. For example, what makes one task or situation different from another and how different must the task or situation be to require different leader behaviors?

The question of how much the situation does, or should, influence leadership style has obviously not yet been resolved in the literature. From our review of the literature and our research on change facilitators (Hall, Rutherford & Griffin, 1982; Hall & Rutherford, 1983) we would hypothesize that a leaders style is much less likely to change because of the situation than some theorists suggest.

Clearly, style is a viable concept for understanding change facilitation performance and effectiveness, a concept that should be the subject of continuing investigation. More research and theory that are based on careful definitions and use of operational measures is sorely needed. At this point the confusion in the literature about the definition and significance of style mirrors the confusion in leadership training and practice. Researchers, theorists and practitioners all need common definitions and shared understandings so that the field may advance and contribute to the pressing needs of formal and informal leaders and the organizations they facilitate.

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